



# Roth Retirement Account Conversion Form

## Return Instructions:

### New Accounts:

Email: newaccounts@siebert.com  
Phone: 800.872.0444  
Fax: 212.486.2784

### Employee Stock Plan Clients:

Email: shareplansupport@siebert.com  
Phone: 800.993.2015  
Fax: 402.342.2486

### IMPORTANT

This is only for accounts that are converting from a pre-existing Siebert IRA to a new Siebert Roth IRA. If you are NOT converting then you do not need to complete this form.

## Account Type

New Roth	Existing Roth	Inherited Roth
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## Roth Conversion

Name/Account Title		Phone
Traditional IRA Account #	Roth IRA Account #	Social Security #/Tax ID

I wish to convert my existing Siebert IRA to a Siebert Roth IRA as specified below:

**Full Conversion in-kind** - Convert the entire balance of my current Siebert IRA to a Siebert Roth IRA.  
(The conversion will be based on the existing positions in your current Siebert IRA on the date of conversion.)

**Partial Conversion in cash** - Convert the following dollar amount from my current Siebert IRA to a Siebert Roth IRA.  
(You must have sufficient cash in your core account. If liquidating trade is necessary, please consult your investment representative.)  
Dollar Amount to convert \_\_\_\_\_

**Partial Conversion in-kind** - Convert the following positions from my current Siebert IRA to a Siebert Roth IRA. List the investments to be converted in-kind below:

Name of Investment	Number of Shares or Dollar Amount	Cusip or Symbol

## Withholding Election

**Federal** - I WANT to have federal income tax withheld from the distribution from my current Siebert IRA for conversion to my new Siebert Roth IRA at the rate of: \_\_\_\_\_ % (not less than 10%)

**State** - I WANT to have state income taxes withheld with the minimum amount or percentage, if any, as determined by the requirements of my state of residence. (Note: Do not complete this section if you are a resident of AK, FL, HI, MS, NH, NV, SD, TV, TX, WA, WY. If your state does not provide a minimum amount or percentage for withholding and you do not provide a percentage, state income taxes will not be withheld from the conversion.)

**No Withholding** - I elect to not have Federal income tax withheld. I understand that I am liable for the payment of Federal income tax on the amount received. I also understand that I may be subject to Federal income tax penalties under the estimated tax payment rules if my payments of the estimated tax and withholding are insufficient.

I assume full responsibility for this conversion transaction and will not hold Siebert liable for any adverse consequences that may result. I hereby irrevocably designate this as a conversion contribution. Conversion Value \_\_\_\_\_

Signature	Date

Signature	Date

## Office Use Only

Approved:	Date: