



# NEXT GENERATION TRUST COMPANY

*CONTROL YOUR FUTURE, TODAY*

**New Account Starter Kit**

# Outsourced Qualified Plans

**Address:**

Next Generation Trust Company  
401 E. 8th Street, Suite 200H  
Sioux Falls, SD 57103

Next Generation Services, LLC  
75 Livingston Ave, Suite 304  
Roseland, NJ 07068

**Toll Free:** (888) 857-8058  
**Phone:** (973) 533-1880  
**Fax:** (973) 533-1088

**EMail:**

Accounts@NextGenerationTrust.com

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**Visit us on the web:**

[www.nextgenerationtrust.com](http://www.nextgenerationtrust.com)

# OUTSOURCED QUALIFIED PLAN APPLICATION



NEXT GENERATION SERVICES, LLC, 75 LIVINGSTON AVE. STE. 304, ROSELAND, NJ 07068 | P: (973) 533-1880 \* F: (973) 533-1088

## PERSONAL INFORMATION

**For Office Use Only: Account #**  
\_\_\_\_\_

Legal Name (required) \_\_\_\_\_  Mr.  Mrs.  Ms.  Dr.

Residential Address (required) \_\_\_\_\_  Single

City, State, Zip \_\_\_\_\_  Married

Mailing Address (optional) \_\_\_\_\_  Widowed/Divorced

City, State, Zip \_\_\_\_\_

County (required) \_\_\_\_\_

Occupation (required) \_\_\_\_\_

Date of Birth (MM/DD/YYYY)

--	--	--	--	--	--	--	--	--	--

Social Security Number (Required)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Phone \_\_\_\_\_

Fax \_\_\_\_\_

Cell \_\_\_\_\_

Email \_\_\_\_\_

Preferred Method of Contact:

## PLEASE TELL US HOW YOU HEARD ABOUT US:

Web  Ad  Article  Event \_\_\_\_\_  Referred By \_\_\_\_\_

Promo Code \_\_\_\_\_  Other \_\_\_\_\_

## WHAT IS THE NAME OF THE ENTITY ESTABLISHING THE PLAN?

Account Type \_\_\_\_\_

Tax ID Number of Business \_\_\_\_\_

Legal Name of Business \_\_\_\_\_

Qualified Plan Advisor/TPA \_\_\_\_\_

## IS THE BUSINESS A:

Sole proprietor  Partnership or form thereof  Corporation or form thereof

## IS THE ACCOUNT BEING ESTABLISHED FOR:

Sole proprietor  Spouse  Partner  Common Law Employee (other than owner(s))

# OUTSOURCED QUALIFIED PLAN APPLICATION



NEXT GENERATION SERVICES, LLC, 75 LIVINGSTON AVE. STE. 304, ROSELAND, NJ 07068 | P: (973) 533-1880 \* F: (973) 533-1088

## APPOINTMENT OF CUSTODIAN, INVESTMENT DIRECTION AND IMPORTANT DISCLOSURES:

**Your signature is required. Please read before signing.** The account holder shown on the front of this application must read this agreement carefully and sign and date this part. By signing this application, you acknowledge the following:

### Appointment

I appoint Next Generation Trust Company as the Custodian of my Account ("Custodian"), and understand and acknowledge that the Custodial Plan Agreement and my Application are my agreement with the Custodian. Next Generation Services, LLC ("Administrator") is the Administrator to the Custodian. The Administrator may change the custodian to any institution permitted by law or as instructed by the undersigned. Written direction is understood to also include a facsimile signature. The account is established for the exclusive benefit of the Account holder or his/her beneficiaries.

### Adequate Information

I acknowledge that I have received a copy of the Custodial/Plan Agreement, Disclosure Statement and the Fee Disclosure. I understand that the terms and conditions that apply to this Account are contained in these documents. I agree to be bound by those terms and conditions. If this is an IRA, within 7 days from the date the account application is signed, it may be revoked without penalty by mailing or delivering a written notice to the Custodian/Administrator.

### Responsibility for Tax Consequences

I assume all responsibility for any taxes and/or penalties that may result from making contributions to, transactions within and distributions from my Account. I attest that I am authorized and I am of legal age to establish this Account and make investments permitted under the Custodial/Plan Agreement offered by the Custodian/Administrator.

I assume complete responsibility for:

- 1) Determining that I am eligible for a transaction that I direct the Custodian/Administrator to make on behalf of my account;
- 2) Insuring that all contributions made are within the limits set by current tax laws; and,
- 3) The taxes of any contribution (including rollover contributions and distributions).

I attest under penalties of perjury:

- 1) That I have provided you with my correct Social Security or Tax I.D. Number; and,
- 2) That I am not subject to backup withholding because I am exempt from backup withholding; or, I have not been notified by the IRS that I am subject to backup withholding; or, the IRS has notified me that I am no longer subject to backup withholding.

**You must cross out #2 if you have been notified by the IRS that you are now subject to backup withholding because of under reporting interest or dividends on your tax return.**

Except as stated above, we will not release information about you to others unless you or someone you have authorized, in writing, have consented and/or instructed us to do so, or we are required by law or other regulatory authority.

The IRS does not require your consent to any provision of this document other than the certification required to avoid backup withholding.

Until I change or revoke this designation, I hereby instruct the Custodian/Administrator to follow the investment directions that I will provide in investing and reinvesting the principal and interest, as confirmed by directions in writing to the Administrator from the undersigned for this account or other custodial account for which the Administrator serves as record keeper. The Custodian is authorized to accept written and/or verbal direction that is confirmed in writing by the undersigned, authorized party, or by the Administrator. Written direction is understood to also include facsimile signature.

This account is established for the exclusive benefit of the Account holder or his/her beneficiaries. In taking action based on this authorization the Custodian/Administrator may act solely on the written instruction or representation of the Account holder or authorized party.

I expressly certify that I take complete responsibility for the type of investments which I choose to purchase within this account. I agree to release, indemnify, defend and hold the Custodian/Administrator harmless from any and all claims, including, but not limited to, actions, liabilities, losses, penalties, fines and/or third party claims, arising out of my account and/or in connection with any action taken on the reliance upon my written instructions and/or representations, or in the exercise of any right, power or duty of Custodian/Administrator, its agents and/or assigns. The Custodian/Administrator may deduct from the account any amounts they are entitled for reimbursement under the foregoing hold harmless provision. I acknowledge and understand that the Custodian/Administrator shall have no responsibility or fiduciary role whatsoever related to or in connection with this account in taking any action related to any purchase, sale or exchange instructed by the undersigned or the undersigned's authorized agents, including but not limited to suitability, compliance with any state or federal law or regulation, income or expense, or preservation of capital or income. For purposes of this paragraph, the terms Administrator and Custodian include Next Generation Services, LLC/Next Generation Trust Company, its agents, assigns, joint venturers and/or business partners.

*I acknowledge receipt of a Fee Disclosure and agree to abide by its terms as currently in effect or as they may be amended from time to time. I understand that failure to submit a signed Fee Disclosure will result in fees calculated "based on value of account" (See Fee Disclosure).*

*I declare that I have examined this document, including all accompanying information, and to the best of my knowledge and belief, it is true, correct and complete. I acknowledge I have read the Fee Disclosure, the Employer Sponsored Plan Account Agreement and agree to abide by their terms as currently in effect or as they may be amended from time to time. If you would like to give permission to another individual to access your account information (such as your spouse or other individual), you will need to complete the Limited Power of Attorney form or Interested Party Designation form.*

PLEASE PRINT, SIGN AND MAIL THIS FORM TO NEXT GENERATION SERVICES, 75 LIVINGSTON AVE. STE 304, ROSELAND, NJ 07068.

Signature of Account Owner \_\_\_\_\_ Date \_\_\_\_\_

**EMPLOYER SPONSORED  
PLAN ACCOUNT  
AGREEMENT (ESPAA)**



NEXT GENERATION SERVICES, LLC, 75 LIVINGSTON AVE. STE. 304, ROSELAND, NJ 07068 | P: (973) 533-1880 \* F: (973) 533-1088

**ESPAA**

I \_\_\_\_\_ as the Individual representing \_\_\_\_\_ (name of employer) am establishing the following type of account \_\_\_\_\_ (account type).

I understand the terms of the agreement, the responsibilities defined in all the documents and disclosures I have received and I acknowledge receipt of all the information as follows. I have selected Next Generation Trust Company to perform record-keeping under this agreement.

**Roles and Responsibilities.**

**Next Generation Trust Company**

Next Generation Trust Company will provide the following to the named plan representative:

- Statements regarding the status of the account.
- Account Application – The application allowing Next Generation Trust Company to establish an investment and record keeping account.

**NOTE: Next Generation Trust Company WILL NOT provide Plan Establishment Documents**

**The Employer**

The Employer shall have established and will maintain a qualified retirement plan that permits self direction and describes the permitted investment options.

The employer will provide a copy of the qualified plan to Next Generation Trust Company care of Next Generation Services.

The employer will provide the name and contact information for the Qualified Plan Advisor/TPA.

QP Advisor/TPA: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Employer Name: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

**Assets in the Account:**

Asset vesting shall be in the name of \_\_\_\_\_ (Trustee name and Plan name) FBO \_\_\_\_\_

**Signatures**

\_\_\_\_\_  
(Plan participant) Date \_\_\_\_\_

\_\_\_\_\_  
(Signature of Employer Representative) Date \_\_\_\_\_

\_\_\_\_\_  
Date \_\_\_\_\_

\_\_\_\_\_  
(Signature of Plan Administrator) Date \_\_\_\_\_

\_\_\_\_\_  
(Signature of Next Generation Representative) Date \_\_\_\_\_

# FEE SCHEDULE



NEXT GENERATION SERVICES, LLC, 75 LIVINGSTON AVE. STE. 304, ROSELAND, NJ 07068 | P: (973) 533-1880 \* F: (973) 533-1088

**ANNUAL ADMINISTRATION FEE: DETERMINE THE BEST FEE OPTION FOR YOU.**  
**ACCOUNT SET UP FEE: \$50 FOR PAPER APPLICATION \$25 FOR ELECTRONIC APPLICATION**  
**IN ADDITION TO MINIMUM ANNUAL FEE DUE, EITHER \$325 (OPTION 1) OR \$196 (OPTION 2)**

**Directions:** Please check only one box.

**OPTION ONE: FEE BASED ON NUMBER OF ASSETS**

Annual recordkeeping fee is \$325 per asset and/or liability per year. Each additional asset is paid at the time of acquisition. Minimum annual record keeping fee is \$325. Minimum fee will be applied to first asset purchased if acquired during first year. Account will be billed in the anniversary month of account opening. Please note that debt financing on an asset is charged as an additional investment. Precious metal asset is reduced to \$100/asset

**OPTION TWO: FEE BASED ON ACCOUNT VALUE**

Billed Quarterly based upon the month that your account is opened.

Account Value	Quarterly Rate	Account Value	Quarterly Rate
up to \$9,999	\$49	\$75,000-\$99,999	\$179
\$10,000-\$19,999	\$59	\$100,000-\$149,999	\$209
\$20,000-\$29,999	\$75	\$150,000-\$199,999	\$249
\$30,000-\$39,999	\$95	\$200,000-\$249,999	\$299
\$40,000-\$49,999	\$115	\$250,000-\$499,999	\$399
\$50,000-\$59,999	\$129	\$500,000+	\$499
\$60,000-\$74,999	\$149		

**TRANSACTION FEES:**

- Purchase, Sale, Exchange, or Re-registration of any domestic asset: \$100
- Purchase, Sale, Exchange, or Re-registration of any international asset: \$125
- Further Funding an existing asset: \$50
- Partial Redemption or Liquidation Request: \$50
- Transaction for a Real Estate Deposit: \$25
- Outgoing Checks: \$5 each
- Cashier's or other Official Bank Check: \$25
- Wire Transfers (Domestic): \$30
- Wire Transfers (International): \$50
- Outgoing ACH: \$30
- Rush fee for expedited transaction processing or review services within the same day or next day may apply. Discuss further with a representative.
- Partial Termination, transfers out to another custodian and/or non qualified distribution, \$100. Applicable transaction fees will apply for assets being transferred or distributed in-kind.
- Full Termination resulting in zero balance is \$250, but does not include normal distributions. This includes lump sum distributions and transfer outs, but does not include required minimum distributions. Applicable transaction fees will apply for assets being transferred or distributed in-kind. Annual recordkeeping fees are not prorated when an account closes.

Regardless of Fee Option, Solo 401k's are billed a plan document fee of \$300 annually.

**All accounts include at no additional charge:**

- Access to regular/education networking events
- Online Account Access
- Annual statements mailed
- Normal eligible distribution by check
- Annual tax reporting
- Quarterly statements emailed

**RELATED EXPENSES:**

- Medallion Guarantee \$25, Notary \$15 For non-NGTC forms.
- Returned items of any kind and stop payments: \$30 per item.
- Reprocessing of incomplete documents are charged \$25 per reprocessing, plus applicable fees. Discuss further with a representative.
- Special Services, such as research of closed assets or accounts, research for legal issues, or special handling of transactions: \$150 per hour.
- Express Mail: \$30 minimum, dependent on destination and speed.
- Invoice Reprocessing for late payments: \$25.
- If you wish to receive quarterly mailed statements please remit \$40 and initial here \_\_\_\_\_. This charge is incurred annually.

**BILLING OPTIONS:** Please check only one box.

Please check only one box. If no box is checked, fees will be automatically deducted from your undirected cash balance. All transaction fees are due at the time of transaction. Annual recordkeeping fees are billed as specified above. You may prepay fees at any time. If not paid by the due date, fees will be deducted from your uninvested balance. If there are insufficient funds in your account, we may liquidate other assets to pay for such fees in accordance with your Plan and Trust Disclosure.

- Please check if you would like to receive a printed invoice by mail for your administration fees.
- Please check if you would like to have fees charged to your credit card. Please attach credit card authorization form. No invoice will be mailed.

**SIGNATURE:**

In accordance with your plan and trust disclosure which you received as part of your application, custodial fees are part of the plan and trust disclosure. We will make our best effort to notify you of all changes to your fee schedule within a 30 day notice by posting the information on our website at [www.nextgenerationtrust.com](http://www.nextgenerationtrust.com).

*In accordance with your Account Application, this Fee Disclosure is part of your agreement with the Custodian/Administrator and must accompany your application.*

Printed Name \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

# CLIENT RELEASE FORM



NEXT GENERATION SERVICES, LLC, 75 LIVINGSTON AVE. STE. 304, ROSELAND, NJ 07068 | P: (973) 533-1880 \* F: (973) 533-1088

**CLIENT RELEASE:** This form is required when establishing an account. Mail form to Next Generation Services.

This Release, dated \_\_\_\_\_, is given

By the Releaser \_\_\_\_\_, referred to as "You,"

TO NEXT GENERATION TRUST COMPANY, 401 E. 8th Street, Suite 200H, Sioux Falls, SD 57103, referred to as "NGTC" and NEXT GENERATION SERVICES, LLC 75 Livingston Ave., Ste. 304, Roseland, NJ 07068, referred to as "NGS".

If more than one person signs this release, "You" shall mean each person who signs this Release.

1. **Disclosure.** You understand and agree that NGTC/NGS does not approve investments for your Retirement Plan. NGTC/NGS is strictly a neutral holder of your Retirement Plan's Assets. In addition, you have read Internal Revenue Service Regulation Title 26, Section 4975 and are familiar with the prohibited transactions listed and the penalties which will be assessed by the Internal Revenue Service in the event that you engage in prohibited transaction(s).
2. **Release.** Because NGTC/NGS has no control over the investments you direct NGTC/NGS to make on behalf of your self-directed retirement plan, and could not know if there is information you have not provided to NGTC/NGS which would make NGTC/NGS inform you that you may be engaging in a prohibited transaction, YOU RELEASE AND GIVE UP ANY AND ALL CLAIMS AND RIGHTS WHICH YOU MAY HAVE AGAINST NGTC/NGS SHOULD YOU ENGAGE IN, APPEAR TO ENGAGE IN, OR BE ACCUSED OF ENGAGING IN, A PROHIBITED TRANSACTION UNDER THE IRS CODE. THIS RELEASES ALL CLAIMS, INCLUDING THOSE OF WHICH YOU ARE NOT AWARE AND THOSE NOT MENTIONED IN THIS RELEASE. NGTC/NGS HAS NO OBLIGATION TO PROVIDE A DEFENSE OR OTHERWISE INDEMNIFY YOU AGAINST ANY CLAIM, FINE, PENALTY, JUDGMENT OR SETTLEMENT RESULTING FROM A CLAIM RAISED UNDER THE IRS CODE AGAINST YOU.
  - a. You understand and agree that NGTC/NGS does not review and approve the subscription agreement, operating agreement, by-laws, limited or general partnership agreement, or any other similar agreement regarding the purchase or operation of any entity or investment you want to invest in. You are solely responsible for making sure that the entity was not formed or will not operate in a way that does or may lead to a prohibited transaction under Internal Revenue Code Section 4975.
  - b. You understand and agree that you are also solely responsible for making sure that the Retirement Plan has adequate funds for any future mandatory capital calls, and you indemnify and hold harmless NGTC/NGS, its officers, directors, shareholders and employees against any liability associated with a loss or diminution in value of your Retirement Plan's investment in the entity because of a failure to meet a future mandatory capital call.
  - c. You understand and agree that NGTC/NGS has given you no tax advice regarding the possibility that your Retirement Plan may be subject to Unrelated Business Income Tax (UBIT) as a result of its investment in any entity or other investment. If your Retirement Plan owes UBIT on its investment in an entity, you agree to prepare or cause to be prepared IRS Form 990T for filing. You understand and agree that any UBIT owed must come from funds belonging to the Retirement Plan, and you indemnify and hold harmless NGTC/NGS, its officers, directors, shareholders and employees against any liability associated with a failure to prepare IRS Form 990T and pay any resulting UBIT due from funds belonging to the Retirement Plan. If UBIT is owed the IRA must get it's own EIN#.
  - d. You represent that you have done your own due diligence on any company you want to invest in, or any other investment you want to make.
  - e. You understand and agree that NGTC/NGS makes no attempt to evaluate any company you want to invest in. For example, NGTC/NGS makes no attempt to check the financial strength of the company, nor do we check with the Secretary of State to see if the company is in good standing, nor do we check with the Securities and Exchange Commission, the Better Business Bureau or any other governmental or non-governmental agency to see if any complaints have been filed against the company. You, as the Retirement Plan holder, are 100% responsible for evaluating any company and any investment.
  - f. You understand and agree that neither NGTC/NGS nor any of its officers, directors, shareholders or employees are associated in any way with any company you may want to invest in. Neither NGTC/NGS nor any of its officers, directors, shareholders or employees have given you any investment, legal or tax advice pertaining to any investment.
  - g. You agree to indemnify and hold harmless NGTC/NGS, its officers, directors, shareholders and employees against any liability associated with your Retirement Plan investment in any company, entity, or other investment.
3. **Consideration.** You acknowledge that unless you sign this release, NGTC/NGS will not accept you as a client, and you are free to seek the services of other firms. In consideration of you signing this release, NGTC/NGS will provide the services of our company and we will rely upon the promises in this release.
4. **Who is Bound.** You are bound by this Release. Anyone who succeeds to your rights and responsibilities, such as your heirs or the executor of your estate, is also bound. This Release is made for the benefit of NGTC/NGS and all who succeed to our rights and responsibilities.
5. **Signatures.** You understand and agree to the terms of this Release. If this Release is made by a corporation its proper corporate officers sign and its corporate seal is affixed.

This Release is given by: \_\_\_\_\_  
*Signature of Client*

\_\_\_\_\_  
*Account Number*

**NOTARY CERTIFICATION REQUIRED**

STATE OF \_\_\_\_\_

COUNTY OF \_\_\_\_\_

I CERTIFY that on \_\_\_\_\_, 20\_\_\_\_\_,

personally came before me and acknowledged under oath, to my satisfaction, that this person (or if more than one person):

a) is named in and personally signed this document; and b) signed, sealed and delivered this document as his or her act and deed.

\_\_\_\_\_  
*Signature of Notary*

(Seal Here)

**NEXT GENERATION TRUST COMPANY**  
401 E. 8TH STREET, SUITE 200H  
SIOUX FALLS, SOUTH DAKOTA 57103  
TOLL FREE: 888-857-8058

# CREDIT CARD AUTHORIZATION FORM



**NEXT GENERATION  
TRUST COMPANY**  
CONTROL YOUR FUTURE, TODAY

NEXT GENERATION SERVICES, LLC, 75 LIVINGSTON AVE. STE. 304, ROSELAND, NJ 07068 | P: (973) 533-1880 \* F: (973) 533-1088

## PERSONAL INFORMATION:

Account Holder Name \_\_\_\_\_ Next Generation Account # \_\_\_\_\_

Cardholder Name (if different) \_\_\_\_\_

Cardholder Billing Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Telephone Number \_\_\_\_\_ Email Address \_\_\_\_\_

## CREDIT CARD INFORMATION:

Card Type: *Please check ONLY ONE Option*

MasterCard     Discover     Visa    *Please Note: We cannot accept American Express. We apologize for any inconvenience this may cause.*

Credit Card Number: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Expiration Date: \_\_\_\_\_ / \_\_\_\_\_

CCV: \_\_\_\_\_  
(Last three digits on back of card)

Keep card on file for all fees (no invoice will be sent)

One time charge in the amount of \$ \_\_\_\_\_

## SIGNATURE: *Please securely email, fax, or mail this form to Next Generation Services.*

*I, the undersigned, authorize that these charges will appear on my credit card statement under the name Next Generation Trust Company and I accept full financial responsibility for payment of this order. I further agree that this authorization will remain in effect until I revoke it in writing.*

Account Holder Signature: \_\_\_\_\_ Date: \_\_\_\_\_

# QUALIFIED PLAN TRANSFER FORM



NEXT GENERATION SERVICES, LLC, 75 LIVINGSTON AVE. STE. 304, ROSELAND, NJ 07068 | P: (973) 533-1880 \* F: (973) 533-1088

Use this form to:

- Move assets directly from one plan account to another plan without taking receipt of the funds.
- Please do not use this form to make a direct rollover.

If you wish to liquidate any assets as part of your transfer to Next Generation Trust Company, ensure that the liquidation process is completed PRIOR to completing this form. Otherwise, the transfer of your funds may be delayed. For multiple transactions, please use a separate form for each.

This form instructs the Custodian or Trustee of your present Employer Plan to transfer your assets to your self-directed account with Next Generation Trust Company. We will arrange for the transfer on your behalf.

## PERSONAL INFORMATION:

Name (Your name as it appears in your plan) \_\_\_\_\_ Next Generation Trust Company Account \_\_\_\_\_

Social security number (required) \_\_\_\_\_ Phone \_\_\_\_\_

Legal Address (required) \_\_\_\_\_

City, State, Zip \_\_\_\_\_

## YOUR FUNDS ARE CURRENTLY HELD AT:

Name of Custodian/Trustee \_\_\_\_\_ Account Number \_\_\_\_\_

Office Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Phone Number \_\_\_\_\_ Contact Name \_\_\_\_\_

## TRANSFER (Must transfer to the same type of account at Next Generation Trust Company)

a. I am transferring **FROM** the following type of plan  
(Must be transferred into like plan)  
 Type of plan \_\_\_\_\_  
Name of plan \_\_\_\_\_

a. I am transferring **TO** the following type of plan (select one):  
(Must be transferred into like plan)  
 Type of plan \_\_\_\_\_  
Name of plan \_\_\_\_\_

- b. I am an eligible person to perform this transaction (select one):
- Plan participant       Trustee of employer sponsored plan       Spouse beneficiary of account
- Non-spouse beneficiary of account       Ex-Spouse of account due to divorce/legal separation

## CASH/ASSET TRANSFER REQUEST TO NEXT GENERATION TRUST COMPANY TYPE OF ASSET TO BE TRANSFERRED: Indicate whether this is A. COMPLETE Transfer OR B. PARTIAL Transfer.

If liquidation of assets is required, you must instruct your current Custodian to liquidate PRIOR to submitting this form. Next Generation Trust Company is not authorized to liquidate investments or assets on your behalf. All transfer forms **MUST** be accompanied by a current account statement from your current custodian.

- COMPLETE TRANSFER** to my account. Please check only one option below, indicating what assets you would like to transfer to Next Generation Trust Company.
- Cash** Please make checks payable to: \_\_\_\_\_ **Next Generation TC FBO (Plan Name & Number)**
- In Kind Asset Transfer & Cash** For transfer of illiquid assets IN KIND (Real Estate, LLCs, Private Stock, Notes, etc.). Please note, re-registration fees may apply. Additional documentation **WILL** apply, so please contact a Next Generation representative. All vestings to read: \_\_\_\_\_ **Next Generation TC FBO (Plan Name & Number)**
- PARTIAL TRANSFER** to my account. Please check all that apply below, indicating what assets you would like to transfer to Next Generation Trust Company.
- Cash** Please submit \$ \_\_\_\_\_ (amount required) to Next Generation Trust Company. Please make checks payable to: \_\_\_\_\_ **Next Generation TC FBO (Plan Name & Number)**
- In Kind Asset Transfer** For transfer of illiquid assets IN KIND (Real Estate, LLCs, Private Stock, Notes, etc.). Please note, re-registration fees may apply. Additional documentation **WILL** apply, so please contact a Next Generation representative. All vestings to read: \_\_\_\_\_ **Next Generation TC FBO (Plan Name & Number)**

Please see page two of this form for asset description and delivery instructions.  
WWW.NEXTGENERATIONTRUST.COM



# QUALIFIED PLAN TRANSFER FORM



NEXT GENERATION SERVICES, LLC, 75 LIVINGSTON AVE. STE. 304, ROSELAND, NJ 07068 | P: (973) 533-1880 \* F: (973) 533-1088

**DESCRIPTION OF ASSETS TO BE TRANSFERRED:** *Please attach additional delivery instructions if needed.*

Asset Description <i>(For cash balances, please indicate amount.)</i>	Amount (\$)

Delivery Instructions are attached       Current statement is attached

**DELIVERY INSTRUCTIONS:** *Please attach additional delivery instructions if needed.*

- a. How would you like us to send this transfer request to your current resigning custodian?  
 Via  Mail       Express Delivery (\$30 fee)       Fax (provide number) \_\_\_\_\_
- b. How would you like your cash sent from your resigning Custodian to Next Generation Trust Company? (Please note: Fees may apply from your resigning custodian).  
 Via  Mail/Check       Wire To Next Generation Trust Company FBO (plan name & number) (\$30 fee)
- c. If you have selected express services above, how would you like to pay for those services? *(Fees are due at the time services are rendered.)*  
 Via  Check       Credit Card       Deduct from account *(must have cash balance)*

**IMPORTANT:** If you need to liquidate investments, please contact the resigning Custodian and inquire about their liquidation/transfer process prior to submitting this completed form. Next Generation Trust Company is not authorized to liquidate assets or investments with the resigning Custodian. Fees may apply from your resigning custodian.

**SIGNATURE AND ACKNOWLEDGEMENT:** *This does not constitute a direct rollover.*

1. I hereby agree to the terms and conditions set forth in this Account Asset Transfer Authorization and acknowledge having established a self-directed account through execution of the \_\_\_\_\_ (Name of plan) account application.
2. I understand the rules and conditions applicable to an Account Transfer
3. I qualify for the account transfer of assets listed in the Asset Description above and authorize such transactions.
4. I understand that no one at NGTC/NGS or any of its licensees has authority to agree to anything different than my foregoing understandings of NGTC/NGS.

\_\_\_\_\_  
*Account Holder Signature* *Date*

**FOR OFFICE USE ONLY:**

**Acceptance of Receiving Custodian**

Pursuant to a limited written delegation, \_\_\_\_\_ (client name) as TRUSTEE for \_\_\_\_\_ (name of business), has authorized **Next Generation Services** (Next Generation Trust Company's Servicing office) to sign this form on the TRUSTEE'S behalf to verify the TRUSTEE'S acceptance of the transfer described above and agreement to apply the proceeds upon their receipt, to the Account. Next Generation Trust Company and Next Generation Services ASSUMES NO TRUST OR FIDUCIARY OBLIGATIONS TO YOU AS IT HAS NO INVESTMENT CONTROL OVER YOUR FUNDS AND ACTS ONLY AS A TRUSTEE OF YOUR FUNDS. Next Generation Services on behalf of TRUSTEE, **Next Generation Trust Company**

By \_\_\_\_\_  
 Date \_\_\_\_\_  
 Account # \_\_\_\_\_

Type of Account (check one):  
 Profit Sharing Plan (including 401(k))  
 Other \_\_\_\_\_ Type of Plan  
 \_\_\_\_\_ Name of Plan

# DEPOSIT TRANSMITTAL FORM



**NEXT GENERATION SERVICES, LLC**, 75 LIVINGSTON AVE. STE. 304, ROSELAND, NJ 07068 | P: (973) 533-1880 \* F: (973) 533-1088

Use this form to: Make a deposit to a record-keeping account.

## PLAN INFORMATION

Plan Name: \_\_\_\_\_

Plan Type: \_\_\_\_\_

## DEPOSIT AND INVESTMENT INFORMATION

Provide a breakdown of the deposit amount

Participants Name	Account Number (if applicable)	Deposit Amount

Total Enclosed \$ \_\_\_\_\_

Please make checks payable to: Next Generation Trust Company FBO \_\_\_\_\_ (Plan Name)

## REASON FOR DEPOSIT

Transfer In \_\_\_\_\_

Mortgage Payment \_\_\_\_\_

Loan Number \_\_\_\_\_

Interest Income \_\_\_\_\_

Date \_\_\_\_\_

## SIGNATURE

Employer: \_\_\_\_\_ EIN: \_\_\_\_\_

Address: \_\_\_\_\_

Person to Contact: \_\_\_\_\_ Phone # \_\_\_\_\_

Signature of Employer's Representative: \_\_\_\_\_ Date: \_\_\_\_\_