

# IRA ELIGIBILITY AND INFORMATION

*The term IRA will be used below to mean Traditional IRA, Roth IRA, SEP IRA and SIMPLE IRA, unless otherwise specified.*

<b>IRA HOLDER'S NAME AND ADDRESS</b>			<b>IRA TRUSTEE'S OR CUSTODIAN'S NAME AND ADDRESS</b>	
<b>Social Security Number</b>	<b>Date of Birth</b>	<b>Home Phone</b>	<b>IRA Account Identification</b>	<b>Trustee's or Custodian's Phone Number</b>

<b>IRA Opening Tax Year</b>	<b>TYPE OF IRA CONTRIBUTION</b> <i>Refer to the sections below for the eligibility requirements related to the type of IRA contribution you select.</i>				
	<b>Traditional IRA</b> <input type="checkbox"/> Annual <input type="checkbox"/> Spousal	<b>Roth IRA</b> <input type="checkbox"/> Annual <input type="checkbox"/> Spousal	<b>SEP IRA</b> <input type="checkbox"/> Annual	<b>SIMPLE IRA</b> <input type="checkbox"/> Annual	<b>Other IRA Contributions</b> <input type="checkbox"/> Rollover or Conversion <input type="checkbox"/> Transfer

ELIGIBILITY REQUIREMENTS	
<p><b>TRADITIONAL IRA – ANNUAL</b></p> <p><b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> Did (or will) you receive any salary or other eligible compensation during the tax year indicated above?</p> <p><input type="checkbox"/> <input type="checkbox"/> Will you be under age 70½ at the end of the tax year indicated above?</p> <p><i>If you answered YES to both questions, you qualify for a Traditional IRA annual contribution.</i></p> <hr/> <p><b>TRADITIONAL IRA – SPOUSAL</b></p> <p><b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> Did (or will) your employed spouse receive any salary or other eligible compensation for the tax year indicated above?</p> <p><input type="checkbox"/> <input type="checkbox"/> Will you be under age 70½ at the end of the tax year indicated above?</p> <p><input type="checkbox"/> <input type="checkbox"/> Will you and your spouse file a joint federal income tax return for the tax year indicated above?</p> <p><i>If you answered YES to all three questions, you qualify for a Traditional IRA spousal contribution.</i></p> <hr/> <p><b>ROTH IRA – ANNUAL</b></p> <p><b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> Did (or will) you receive any salary or other eligible compensation during the tax year indicated above?</p> <p><input type="checkbox"/> <input type="checkbox"/> Did (or will) you (and your spouse if applicable) earn less than the maximum permitted modified adjusted gross income (MAGI) during the tax year indicated above? <b>NOTE: The maximum permitted MAGI is \$160,000 if married filing jointly, \$110,000 if you are single and \$10,000 if you are married filing separately. These MAGI limits may be adjusted for cost-of-living increases.</b></p> <p><i>If you answered YES to both questions, you qualify for a Roth IRA annual contribution. If your MAGI exceeds certain amounts, your contribution may be limited.</i></p> <hr/> <p><b>ROTH IRA – SPOUSAL</b></p> <p><b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> Did (or will) your employed spouse receive any salary or other eligible compensation for the tax year indicated above?</p> <p><input type="checkbox"/> <input type="checkbox"/> Will you and your spouse file a joint federal income tax return for the tax year indicated above?</p> <p><input type="checkbox"/> <input type="checkbox"/> Did (or will) you and your spouse earn less than the maximum permitted modified adjusted gross income (MAGI) during the tax year indicated above? <b>NOTE: The maximum permitted MAGI is \$160,000. The MAGI limits may be adjusted for cost-of-living increases.</b></p> <p><i>If you answered YES to all three questions, you qualify for a Roth IRA spousal contribution. If your MAGI exceeds certain amounts, your contribution may be limited.</i></p>	<p><b>SEP IRA</b></p> <p><b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> Has your employer provided (or will your employer provide) written information to you about your employer's SEP plan?</p> <p><input type="checkbox"/> <input type="checkbox"/> Have you been notified that you are eligible to receive an employer contribution or make an elective employee contribution under your employer's SEP plan for the tax year indicated above?</p> <p><i>If you answered YES to both questions, you may open a SEP IRA. If you plan to make IRA contributions on your own behalf, please refer to the Traditional IRA section.</i></p> <hr/> <p><b>SIMPLE IRA</b></p> <p><b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> Has your employer provided (or will your employer provide) written information to you about your employer's SIMPLE IRA plan?</p> <p><input type="checkbox"/> <input type="checkbox"/> Have you been notified that you are eligible to receive an employer contribution or make an elective employee contribution under your employer's SIMPLE IRA plan for the tax year indicated above?</p> <p><i>If you answered YES to both questions, you may open a SIMPLE IRA.</i></p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>As the Trustee or Custodian we require a copy of your employer's SEP or SIMPLE IRA plan. Please provide the following information:</p> <p>Name of Employer _____</p> <p>Address _____</p> <p>_____</p> </div> <hr/> <p><b>ROLLOVER OR CONVERSION IRA</b></p> <p><b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> Do you certify that you satisfy the requirements for making a rollover, direct rollover or conversion into an IRA? <i>Please refer to Ascensus' IRA Rollover Certification (Form #103), Roth IRA Rollover Certification (Form #6103), and Roth IRA Conversion Certification (Form #6306) for further information.</i></p> <p><i>If you plan to make regular or spousal IRA contributions, please refer to the appropriate sections above.</i></p> <hr/> <p><b>TRANSFER IRA</b></p> <p><b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> Do you certify that you have requested IRA funds or assets to be directly transferred from your IRA? <i>Please refer to Ascensus' Transfer Request (Form #302 or Form #6302) for further information.</i></p> <p><i>If you plan to make regular or spousal IRA contributions, please refer to the appropriate sections above.</i></p>
<p><b>NOTE: If you are age 50 or older by the end of the year and are making contributions to a Traditional IRA, Roth IRA or SIMPLE IRA, or are making salary deferral contributions to a SEP plan, you may be eligible to make additional catch-up contributions.</b></p>	

SIGNATURES	
<p>I certify that all of the information provided by me is true and accurate and may be relied on by the Trustee or Custodian. I certify that I am eligible for the type of IRA deposit being made. I assume complete responsibility for ensuring that all IRA contributions I make are within the limits set by the tax laws, and related regulations and plan agreement and for the tax consequences of any contributions (including any rollover and conversion contributions) and distributions. I understand that the terms and conditions which apply to my IRA are contained in my IRA plan agreement and I agree to be bound by those terms and conditions.</p>	
_____	_____
(IRA Holder)	(Date)
_____	_____
(Witness)	(Date)