



SIMPLE IRA Transfer / Rollover Request

IMPORTANT INFORMATION

This form is to be completed by the SIMPLE IRA owner who wishes to make a transfer or rollover of all or a portion of his/her assets from a Qualified Plan or IRA (if after 2 years of participation in the SIMPLE IRA) or another SIMPLE retirement account (if prior to 2 years of participation in a SIMPLE retirement account) to a Pacific Premier Trust SIMPLE IRA. Please refer to the "Instructions for SIMPLE IRA Transfer/Rollover Request" to complete this form.

* Indicates required information

1 TRANSFER TYPE

TO THE DELIVERING FIRM: I have amended my retirement plan or established a new plan, and I request that you transfer or rollover all or a portion of the assets or securities in my account (as directed on this form) to the successor Trustee/Custodian named below. I understand that to the extent any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by New York Stock Exchange Rule 412 or similar rule of the National Association of Securities Dealers or other designated examining authority. Unless otherwise indicated in the instructions contained herein, I authorize you to sell any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting cash credit balance to the successor Trustee/Custodian. I understand that you will contact me with respect to the disposition of any other assets in my securities account that are not transferable. I authorize you to deduct any outstanding fees due from the credit balance in my account. If my account does not contain a credit balance or if the credit balance in the account is insufficient to satisfy any outstanding fees due, I authorize you to liquidate the assets in my account to the extent necessary to satisfy that obligation. If certificates or other instruments in my account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor Trustee/Custodian to transfer them to its name (or its nominee name) for the purpose of sale when and as directed by me. I understand that upon receiving a copy of this transfer instruction, you will cancel all open orders for my account on your books.

Select the option for the transfer type you are requesting:

Partial Transfer/Rollover

Complete Transfer/Rollover (this will close your entire account)

2 ACCOUNT OWNER INFORMATION

| | | | |
|---------------------------------------|-----------------|----------------------------------|--------------|
| ACCOUNT OWNER NAME (FIRST, MI, LAST)* | | PACIFIC PREMIER TRUST ACCT. NO.* | |
| SSN* | DATE OF BIRTH* | PRIMARY PHONE NO.* | |
| MAILING ADDRESS* | | | |
| CITY* | STATE/PROVINCE* | COUNTRY* | POSTAL CODE* |

3 CURRENT TRUSTEE / CUSTODIAN INFORMATION

Please provide a copy of the most recent Account Statement from your current Trustee/Custodian.

| | | | |
|--------------------------------------|-----------------|--------------------|--------------|
| CURRENT TRUSTEE/CUSTODIAN ACCT. NO.* | | CUSTODIAN NAME* | |
| CONTACT DEPARTMENT* | FAX NO.* | PRIMARY PHONE NO.* | |
| MAILING ADDRESS* | | | |
| CITY* | STATE/PROVINCE* | COUNTRY* | POSTAL CODE* |



4 TRANSFER / ROLLOVER OPTIONS

- Please select one option for your requested transfer or rollover.

Traditional IRA to SIMPLE IRA *(after 2 years of participation in a SIMPLE Plan)*

SIMPLE IRA to SIMPLE IRA *(only one rollover from or to another SIMPLE Plan in a 365 day period; the same assets must be rolled over as distributed)*

Qualified Plan to SIMPLE IRA *(after 2 years of participation in a SIMPLE Plan)*

5 LIST OF ALL STANDARD ASSETS TO BE TRANSFERRED OR LIQUIDATED

- Use additional paper, if needed. Please provide a copy of the most recent account statement from your current Trustee/Custodian.

| A. Cash/Money Market Funds | Specify "All" or \$ Amount |
|----------------------------|----------------------------|
| | |

| B. Mutual Funds | Specify "All" or No. of Shares | Sell | or | Transfer in Kind | Fund Account No. |
|-----------------|--------------------------------|------|----|------------------|------------------|
| | | | | | |
| | | | | | |

| C. Annuities | Value | Surrender | or | Change of Ownership | Contract (Policy No.) |
|--------------|-------|-----------|----|---------------------|-----------------------|
| | | | | | |
| | | | | | |

| D. Stocks or Bonds | Specify "All" or No. of Shares | Sell | or | Transfer in Kind | CUSIP/Ticker |
|--------------------|--------------------------------|------|----|------------------|--------------|
| | | | | | |
| | | | | | |

6 ALTERNATIVE ASSET TRANSFER / ROLLOVER / CONVERSION OR LIQUIDATION INSTRUCTIONS

- Only complete this section if you are transferring, rolling over, converting or liquidating alternative assets from the resigning account. It is the responsibility of the current Administrator/Custodian to handle the re-registration of any investment it is holding in your account (e.g., IRA, 401(k), profit-sharing plan, etc.) that you wish to move. **If you have more than two investments in this account, please photocopy this section and complete it for each investment.**
- All investments are subject to an administrative review by Pacific Premier Trust. Please provide the documents and/or Pacific Premier Trust forms, listed on page 6, specific to your asset type to facilitate our administrative review. Pacific Premier Trust will contact you if additional signatures or documents are required by the third party executing the transfer.²

INVESTMENT TYPE (choose one):

Private Equity Promissory Note Secured Note Real Estate Other: _____

TRANSFER / ROLLOVER / CONVERSION:

Transfer in Kind Liquidate (Please follow up with your current Custodian to confirm their liquidation processes.)

| INVESTMENT NAME* | NO. OF SHARES TO BE TRANSFERRED* | TOTAL CURRENT ESTIMATED DOLLAR VALUE* | PERCENTAGE OF OWNERSHIP* |
|------------------|----------------------------------|---------------------------------------|--------------------------|
| | | | |

COMPANY INFORMATION (for Private Equity, LPs and REITs only):

| | | | |
|--------------------------|-----------------|--------------------|--------------|
| COMPANY NAME* | | CONTACT NAME* | |
| CONTACT DEPARTMENT* | EMAIL ADDRESS* | PRIMARY PHONE NO.* | |
| COMPANY MAILING ADDRESS* | | | |
| CITY* | STATE/PROVINCE* | COUNTRY* | POSTAL CODE* |

INVESTMENT TYPE (choose one):

Private Equity Promissory Note Secured Note Real Estate Other: _____

TRANSFER / ROLLOVER / CONVERSION:

Transfer in Kind Liquidate (Please follow up with your current Custodian to confirm their liquidation processes.)

| INVESTMENT NAME* | NO. OF SHARES TO BE TRANSFERRED* | TOTAL CURRENT ESTIMATED DOLLAR VALUE* | PERCENTAGE OF OWNERSHIP* |
|------------------|----------------------------------|---------------------------------------|--------------------------|
| | | | |

COMPANY INFORMATION (for Private Equity, LPs and REITs only):

| | | | |
|--------------------------|-----------------|--------------------|--------------|
| COMPANY NAME* | | CONTACT NAME* | |
| CONTACT DEPARTMENT* | EMAIL ADDRESS* | PRIMARY PHONE NO.* | |
| COMPANY MAILING ADDRESS* | | | |
| CITY* | STATE/PROVINCE* | COUNTRY* | POSTAL CODE* |

² To avoid delays in processing your request, at least one of these sections must be completed in its entirety. All assets that are to be transferred must be listed individually in its appropriate section. Please attach copies of account statements from the current Trustee/Custodian collecting the assets to be transferred. If you have physical certificates in your possession, you must send the actual certificates in negotiable form to Pacific Premier Trust with this document.

7 ACCOUNT OWNER ACKNOWLEDGMENTS WITH REGARD TO INVESTMENTS TO BE TRANSFERRED OR ROLLED OVER

- i. I understand that I am responsible, and Pacific Premier Trust and its related entities are not responsible, for selecting and reviewing the above investment(s) and for determining the suitability, nature, value, risk, safety and merits of the investment(s) that I authorize Pacific Premier Trust to hold in my Account.
- ii. I understand that Pacific Premier Trust and its related entities are not related to or affiliated with the management or selling agent(s) of the investment(s) that I have directed Pacific Premier Trust to hold for my account. I acknowledge that Pacific Premier Trust has not reviewed, recommended or commented on the investment(s) merits, risks, suitability or management of the asset(s) I have selected and I authorize Pacific Premier Trust to process this transfer or rollover request. I therefore agree to release, indemnify, defend, and hold Pacific Premier Trust and its related entities harmless from any claims arising out of such investment(s) or otherwise. I also understand and agree that Pacific Premier Trust and its related entities will not be responsible for taking any action should the investment(s) noted herein become subject to default, including fraud, insolvency, bankruptcy, or other court order or legal process.
- iii. I agree that any dispute regarding my investment(s) shall be submitted to binding arbitration pursuant to the Commercial Rules of the American Arbitration Association and the terms of the Custodial Agreement. I understand that the prevailing party shall be entitled to recover all legal fees, reasonable costs and expenses and that these shall be in addition to any award of damage or any other relief to which the prevailing party is entitled.
- iv. I have consulted my own attorney and hereby represent that Pacific Premier Trust may hold title to any Note and/or its collateral, where applicable. I hereby represent to Pacific Premier Trust that I understand the risks involved with my deed of trust/mortgage/secured note investment(s), specifically that there may be liability above and beyond the amount of the investment(s) in the collateral property (e.g., ad valorem property taxes on the property or liability arising under Environment Laws). The losses will include any losses caused by, or arising out of, the presence, on or about the Property, of any Hazardous Substances, or any person or entity complying or failing to comply with any Environment Law. The term "Environmental Law" means any law, rule, regulation, or ordinance relating to protection of the environment or human health. The term "Hazardous Substance" means any substance defined as hazardous or toxic, or otherwise regulated by any Environmental Law.
- v. I represent that my purchase of any investment(s) I am transferring to Pacific Premier Trust was not a prohibited transaction as defined in the Internal Revenue Code and Department of Labor regulations.
- vi. I acknowledge that my investment(s) are not insured by the FDIC, are not an obligation of or guaranteed by Pacific Premier Trust, and are subject to risk, including the possible loss of principal.
- vii. I understand all the routine real estate expenses (e.g., tax bills, insurance premiums, homeowner's association payments and utility bills) received by Pacific Premier Trust may automatically be paid from my account. I understand that it is my responsibility to ensure all billing parties have the correct mailing address on file. I will be responsible with monitoring my account activity to confirm that all necessary expenses related to my real estate investment have been processed. I understand that sufficient funds must be held in my uninvested cash account to make the required payment at least 14 days prior to the payment's due date. If the funds are not available, I will be responsible for any interest or penalties incurred. Invoices for non-routine expenses (e.g., repairs and improvements) require specific Account Owner authorization prior to payment from the account.

- viii. For real estate, I have made arrangements with the property manager designated on the Property Management Agreement. Pacific Premier Trust will not be responsible for errors and omissions in the management agreement or for any actions taken by the property manager. For real estate, I understand that I must provide a real estate appraisal for any real estate transaction request I submit that will result in a taxable event (e.g., distribution.) I also acknowledge that on an annual basis, I will be asked to provide an updated valuation for each real estate investment within my account(s). Such annual valuation may be in the form of a comparative market analysis or other source deemed to be acceptable by the Custodian.

8 AGE 72 NOTICE

Effective January 1, 2020, the SECURE Act has changed the age requirement for Account Owners to take their first RMD ("Required Minimum Distribution") from 70½ to 72. This applies only to individuals reaching 72 after December 31, 2019. If you reached age 70½ in 2019, you are still subject to RMD, and must take your first distribution no later than April 1, 2020.

I certify that I have read the applicable section for the transaction I have chosen, and I understand and agree to all terms.

9 ACCOUNT OWNER'S SIGNATURE REQUIRED

In the case of a transfer or direct rollover, the current Trustee/Custodian is authorized to send cash and/or assets to Pacific Premier Trust as specified.

For the transfer of an inherited IRA, I certify that I am the sole beneficiary of the asset(s) requested and agree to hold Pacific Premier Trust and its related entities harmless in the event that any other beneficiary makes a claim against this account.

In the case of a rollover, I understand it is my sole responsibility to determine the validity of any rollover contribution and to initiate and make such rollover deposit; I irrevocably elect to roll over the asset(s) in this transaction.

I hereby agree to indemnify and hold harmless Pacific Premier Trust and its officers, directors, shareholders, agents, employees, and Pacific Premier Trust's related entities for any and all costs, obligations, losses, claims, damages and expenses (including reasonable attorneys' fees) related to or associated with this agreement.

I acknowledge that there may be a minimum cash requirement, applicable to accounts containing alternative assets, disclosed in the Fee Schedule. If this requirement is not met, I understand that additional fees may apply.



Account Owner Signature

Date

Note: Your current Custodian may require that your signature be Medallion Signature Guaranteed. Please contact your current custodian for details of their requirements. A Medallion Signature Guarantee may generally be obtained from your brokerage firm, bank or other financial institution. Pacific Premier Trust's Medallion Signature Guarantee is only a guarantee of Pacific Premier Trust's acceptance signature, and is not guaranteeing the Account Owner's Signature.

10 ACCEPTANCE BY PACIFIC PREMIER TRUST

Pacific Premier Trust, a Division of Pacific Premier bank hereby accepts the appointment as Custodian of the assets listed. This acceptance is not to be construed as validation of any rollover or direct rollover contribution, if any. Pacific Premier Trust is exempt from backup withholding described in the Internal Revenue Code Section 3406(a)(1)(C).



Pacific Premier Trust Acceptance Signature

Title

Date

[MEDALLION GUARANTEE STAMP HERE]

Note: This Medallion Guarantee Signature is only a guarantee of Pacific Premier Trust's acceptance signature. Pacific Premier Trust is not guaranteeing the client's signature.

11 DELIVERY INSTRUCTIONS

CHECK

Make checks payable to:

Pacific Premier Trust, Custodian
FBO (Client Name), Pacific Premier Trust Account Number
P.O. Box 173859
Denver, CO 80217-3859

ACATS

Automated Customer Account Transfer Service Information:

For ACATS Eligible Firms
2-3 Business days for partial requests
4-5 Business days for full requests
For cash transfers, please ensure you have cash positions available

WIRE

Wiring Instructions for Cash:

Citibank
ABA No.: 321171184
For Credit to: Pacific Premier Trust
A/C No.: 204869978
For Further Credit to: Client's Full Name
A/C No. (Client's Pacific Premier Trust Account Number)

Overnight Delivery Address

Pacific Premier Trust
FBO (Client Name)
1560 Broadway, Suite 400
Denver, CO 80202-3308

Register Physical Securities, Non-Networked Eligible Mutual Funds & Limited Partnerships:

Pacific Premier Trust Custodian FBO (Client Name), IRA
P.O. Box 173859
Denver, CO 80217-3859
Tax ID: 02-0526633

DTC Eligible Securities:

DTC No. 5998
Agent ID: 94099
Institutional ID: 94099
FBO: Client Name & Pacific Premier Trust Account Number

Book-Entry Government Securities (Including GNMA Pool Deliveries) Via Federal Wire:

Fifth Third Bank
ABA No.: 042000314/Fifth Cin/1050
FFC A/C No.: 010034438545
A/C Name: Pacific Premier Bank
FBO: Client Name & Pacific Premier Trust Account Number

Register Networked Eligible Mutual Funds To:

NTC & Co.
FBO (Client Name), Pacific Premier Trust Account Number
P.O. Box 173859
Denver, CO 80217-3859
Matrix Settlement & Clearance Services NSCC No.: 5954
Tax ID: 26-1356253

Note: Pacific Premier Trust will automatically default to ACATS (Automated Customer Account Transfer Service) if no contact information and contact fax number is provided. If the firm is not ACATS eligible, Pacific Premier Trust will attempt to fax documents. If this is not an option, your transfer will be mailed unless overnight mailing instructions are provided.

For Overnight Paperwork Delivery:

Charge my account (please refer to your Fee Schedule)

Charge this overnight number/provider: _____



SIMPLE IRA Transfer / Rollover Request Instructions

1 SIMPLE IRA ACCOUNT OWNER INFORMATION

Please complete all information requested. If information does not match Pacific Premier Trust records or is left blank, the form will be returned to you with an explanation regarding the discrepancy, or for completion.

2 CURRENT TRUSTEE/CUSTODIAN INFORMATION

Please complete the information requested and provide a copy of the most recent Account Statement from your current Trustee/Custodian.

3 TRANSFER TYPE

Please check the box that is applicable to the type of transfer you are requesting.

4 TRANSFER OPTIONS

Please read the following definitions and check the applicable option for your intended transaction.

Transfer: Described the movement of assets directly between SIMPLE IRA Trustees/Custodians without distribution to the Account Owner, resulting in no tax forms being generated by either Trustee/Custodian.

Inherited/Beneficiary SIMPLE IRA: Describes the transfer of an SIMPLE IRA inherited by a non-spouse beneficiary that is transferring to an account in the name of the deceased for benefit of the named beneficiary. Pacific Premier Trust required additional documentation and review before this type of account may be transferred. Please contact Pacific Premier Trust for more information.

Spousal Assumption: If you are the designated spouse beneficiary of the Account Owner, you may elect to transfer or assume your spouse's SIMPLE IRA account as your own SIMPLE IRA. SIMPLE IRA rules will apply as if the funds were originally contributed on your behalf (e.g., non-installment distributions taken prior to your reaching age 59½ will be subject to a 10% IRS penalty tax). If you do not already have an account with Pacific Premier Trust you will need to complete a SIMPLE IRA Application and return it with this completed form. You must include a certified copy of the deceased Account Owner's death certificate.

Rollover: Describes a cash and/or asset contribution to a SIMPLE IRA by an individual within sixty (60) days of receiving an eligible rollover distribution from a qualified plan, IRA, or another SIMPLE IRA. To make a rollover, the individual must have received an eligible distribution outright. The individual may rollover all or any part of the actual amount received.

Conversion: Describes the movement of funds from a SIMPLE IRA to a Roth IRA. Choosing this option, the Account Owner certifies that the conversion meets the requirements under law for a qualifying conversion contribution, and that he/she understands the tax consequences of the transaction. If applicable, both Trustees/Custodians must be informed of your desire to convert. Informing only one Trustee/Custodian may result in inaccurate reporting to the Internal Revenue Service. **A 25% penalty applies to conversions made within two years of the establishment of the SIMPLE IRA.**

Recharacterization: Describes the movement of funds that occurs when an individual corrects a prior conversion from a SIMPLE IRA (Pacific Premier Trust IRA) to a Roth IRA, and later elects to transfer either all or a portion of the original contribution, plus net income attributable, to another IRA (the Second IRA), on or before the individual's tax return due date, plus extensions, for the year for which the Pacific Premier Trust IRA contribution was made. The recharacterization allows the individual to treat the prior conversion as if it had not been made. If applicable, both Trustees/Custodians must be informed of the Account Owner's desire to recharacterize. Informing only one Trustee/Custodian may result in inaccurate reporting to the Internal Revenue Service.

5 ASSET INSTRUCTIONS

To avoid delays in processing your request, this section must be completed in its entirety. All assets that are to be transferred must be listed individually in this section. Please attach copies of account statements from the current Trustee/Custodian reflecting the assets to be transferred. If you have physical certificates in your possession, you must send the actual certificates in negotiable form, to Pacific Premier Trust with this document.

6 AGE 72 NOTICE

Effective January 1, 2020, the SECURE Act has changed the age requirement for Account Owners to take their first RMD ("Required Minimum Distribution") from 70½ to 72. This applies only to individuals reaching 70½ after December 31, 2019. If you reached 70½ in 2019, you are still subject to RMD, and must take your first distribution no later than April 1, 2020.

7 DELIVERY OPTIONS

Pacific Premier Trust will automatically default to ACATS (Automated Client Account Transfer) if no contact and contact fax is provided. If the firm is not ACATS eligible then we will attempt a fax. If this is not an option we will mail your transfer unless you provide overnight information.

8 ACCOUNT OWNER SIGNATURE

Your signature certifies that you have read the applicable section for the transaction you have chosen and understand and agree to all the terms thereunder. In the case of a transfer or direct rollover, the current Trustee/Custodian is authorized to send cash and/or assets to Pacific Premier Trust as specified. In addition, you certify that the assets requested to be rolled over into your SIMPLE IRA qualify as a valid rollover contribution as defined in the Plan documents, including the requirement that deposit of such contribution is being made within sixty (60) days after receipt by you of the eligible distribution. You understand the tax consequences of your plan and/or your contribution and the implications that this rollover contribution has on the five-taxable-year period for taking distributions from a SIMPLE IRA. You further understand that the current Trustee/Custodian may issue a tax form to you representing the distributed value of these assets and that you must treat the transaction as a rollover contribution on your income tax return. You also agree to hold Pacific Premier Trust harmless in any way should the rollover be ineligible or invalid, or if it creates any tax implication to you.

You certify that you are aware of any and all penalties incurred by your request (if applicable) including, but not limited to, premature liquidation of any certificate of deposit or insurance product involved in this SIMPLE IRA rollover/conversion/transfer/recharacterization.

Please make a copy of the complete form for your records.