



Regular mail:  
ESG Managers® Portfolios  
PO Box 55389  
Boston MA 02205-5389

Overnight mail:  
ESG Managers® Portfolios  
c/o BFDS  
30 Dan Road, Suite #55389  
Canton, MA 02021-2809  
Telephone: 888.374.8920

## Traditional IRA and Roth IRA Transfer Of Assets/Direct Rollover

Use this form to authorize the transfer of your employer-sponsored plan, Traditional, SEP or Roth IRA directly to ESG Managers® Portfolios. Do not use this form to convert to a Roth IRA or to recharacterize a conversion or contribution. For help with filling out this form please call 888.374.8920 between 8AM and 6PM ET M-F.

### 1. Personal Information

First Name	Middle Initial	Last Name	Social Security/Tax ID No.
Mailing Address	City	State	Zip Code
Birthdate (mm/dd/yyyy)		Contact Telephone	

Check here if contact information above is new.

### 2. Please tell us where to invest. Complete items A, B, and C.

A.  I am opening a new IRA(s) and have attached the required application or documents.

Deposit the proceeds into my existing IRA account # \_\_\_\_\_

B. Please purchase into the following fund(s):

ESG Managers® Aggressive Growth Portfolio	\$ _____ or _____%	<input type="checkbox"/> Class A (3330) <input type="checkbox"/> Class C (3350)
ESG Managers® Growth Portfolio	\$ _____ or _____%	<input type="checkbox"/> Class A (3331) <input type="checkbox"/> Class C (3351)
ESG Managers® Moderate Portfolio	\$ _____ or _____%	<input type="checkbox"/> Class A (3332) <input type="checkbox"/> Class C (3352)
ESG Managers® Conservative Portfolio	\$ _____ or _____%	<input type="checkbox"/> Class A (3333) <input type="checkbox"/> Class C (3353)

C. Type of Account Transferring Into:  Traditional/Rollover IRA  SEP IRA  
 Roth IRA

### 3. Please tell us about your current plan and authorize the transfer from your current custodian.

- To avoid delays check with your current custodian for their correct address and if they require a Medallion Signature Guarantee.
- If possible attach a copy of a current statement.

Type of Account you are transferring/rolling over from (check one):

- Traditional/Rollover IRA  SEP-IRA  Roth IRA  403(b)  
 457 Plan  Qualified Plan\*

\* If you are rolling over a qualified plan, please contact your plan Administrator for additional distribution/rollover forms that they may require.

\_\_\_\_\_  
Name of Current Custodian or Agent

\_\_\_\_\_|\_\_\_\_\_|\_\_\_\_\_|\_\_\_\_\_  
Mailing Address of Current Custodian or Agent | City | State | Zip Code

( )  
\_\_\_\_\_  
Contact Telephone of Custodian

**Please transfer the following investments to State Street Bank & Trust Company as custodian for the ESG Managers® IRA.**

1. Fund Name or Type of Investment to be transferred: \_\_\_\_\_

Account Number for Investment 1: \_\_\_\_\_  Entire Account  Partial \$: \_\_\_\_\_

For Certificates of Deposit  Immediately  At Maturity (Date: \_\_\_\_\_)

2. Fund Name or Type of Investment to be transferred: \_\_\_\_\_

Account Number for Investment 2: \_\_\_\_\_  Entire Account  Partial \$: \_\_\_\_\_

For Certificates of Deposit  Immediately  At Maturity (Date: \_\_\_\_\_)

I authorize the Transfer of Assets or Direct Rollover as noted above to my ESG Managers® IRA and authorize ESG Managers® Portfolios and State Street Bank & Trust Company to process this request on my behalf. I understand it is my responsibility to assure the prompt Transfer of Assets by the current Custodian. I have read and understand all information in the instructions and hereby provide the applicable direct rollover certification.

\_\_\_\_\_|\_\_\_\_\_  
Signature of Depositor | Date

**Medallion Signature Guarantee (if required by your current custodian):** An eligible guarantor is a domestic bank or trust company, securities broker/dealer, clearing agency or savings association that participates in a medallion program recognized by the Securities Transfer Agents Association. The three recognized medallion programs are the Securities Transfer Agents Medallion Program (known as STAMP), Stock Exchanges Medallion Program (SEMP), and the Medallion Signature Program (MSP). A notarization from a notary public is NOT an acceptable substitute for a signature guarantee.

**Medallion Signature Guarantee**

## Traditional IRA and Roth IRA Transfer Of Assets/Direct Rollover

### Instructions to Shareholders (Please Read Carefully).

This form will be used by ESG Managers® Portfolios to initiate a Transfer of Assets or a Direct Rollover from an existing retirement plan account as designated on this form to your IRA at ESG Managers® Portfolios. Excluding a Roth IRA, if you are over age 70½, you are responsible for requesting a distribution of any Required Minimum Distribution due to be distributed in the calendar year. Please remember that a TRANSFER OF ASSETS can only occur between the same type of retirement plan. For certificates of deposit, please indicate if you wish to have the funds transferred immediately, which may incur a redemption penalty if they have not matured, or at maturity. We cannot accept requests to transfer assets from certificates more than 60 days prior to their maturity. When completed, please return the signed form, a copy of your current account statement, and the appropriate new account application for your IRA (if required) to:

#### First Class Mail:

ESG Managers® Portfolios  
PO Box 55389  
Boston MA 02205-5389

#### Overnight Courier:

ESG Managers® Portfolios  
c/o BFDS  
30 Dan Road Suite #55389  
Canton MA 02021-2809

Insufficient information or incorrect forms will result in delays in processing your instructions.

### Direct Rollover Information - Certification (Please Read Carefully).

If this contribution is a Direct Rollover from a Qualified Plan, 403(b), or 457 Plan, I understand that by signing this form I am acknowledging that the direct rollover contribution is an irrevocable election and is no longer eligible for special tax treatment which may be accorded to distributions from a Qualified Plan, 403(b), and 457 Plan. (You may want to contact your current plan administrator or Custodian to ensure that you have completed any documents they may require in order to complete your request as well as establish the timing of the distribution. If you are over age 70½, please contact your current Custodian regarding the Required Minimum Distribution rules before initiating a Direct Rollover.)

If this contribution is a Direct Rollover from a Designated Roth Contribution Account under an employer's 401(k) or 403(b) plan, I certify that my employer's qualified 401(k) or 403(b) plan will make an Eligible Rollover Distribution from my Designated Roth Contribution Account. This Direct Rollover solely represents all or a portion of my Designated Roth Contribution Account under the employer's plan and no other account under the employer's plan is being rolled over to my ESG Managers® Roth IRA. I certify the rollover is not part of a series of payments over my life expectancy or over a period of 10 years or more. The rollover does not include (1) any Required Minimum Distribution with respect to the employer's plan; (2) any hardship distribution; (3) any corrective distribution; or (4) any deemed distribution from the employer's plan. I certify that I am eligible to establish an ESG Managers® Roth IRA with this direct rollover of an Eligible Rollover Distribution from a Designated Roth Contribution Account, and that I am one of the following: the plan participant; the surviving spouse of the deceased plan participant; or the spouse or former spouse of the plan participant under a Qualified Domestic Relations Order.