



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 Rollover/Conversion Certification

Use this form to certify a rollover distribution if you have received proceeds from your current IRA or eligible conversion distribution from a Traditional IRA and are depositing those funds into your ESG Managers® IRA. You must complete the rollover within 60 calendar days of your receipt of that distribution. For help with filling out this form please call 888.374.8920 between 8AM and 6PM ET M-F.

**PLEASE NOTE:** 20% withholding is required on any eligible rollover distribution from a Qualified Retirement Plan, 403(b) or 457 Plan unless the distribution is transferred directly to an IRA or other qualified plan. To transfer your distribution directly, please complete the "Transfer of Assets/Direct Rollover Form."

### 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.

ESG Managers® IRA Account # (if applicable): \_\_\_\_\_

(If you are establishing a new ESG Managers® IRA, you must also complete a *Traditional IRA and Roth IRA Application*.)

### 2. Traditional Rollover Type of Rollover Contribution

- ☐ IRA Rollover - A distribution from a Traditional IRA which is being rolled over into your ESG Managers® IRA within 60 days of receipt. Note that 365 days must have passed since you last received a rollover distribution from the distributing IRA.
- ☐ IRA Eligible Rollover Distribution - A non-periodic distribution from a qualified retirement plan of all or part of your account balance, other than the portion of any distribution which is nontaxable, which is being rolled over into your ESG Managers® IRA within 60 days of receipt. Your employer's benefits or personnel office should be able to tell you what portion of your distribution is an "eligible distribution."
- ☐ Qualified Domestic Relations Order.

### 70½ Rollover Restriction (Please check one)

- ☐ I am not nor will I be 70½ or older in this calendar year.
- ☐ I am or will be 70½ or older in this calendar year. I understand that I may not roll over any amounts required to be distributed under Internal Revenue Code Sections 408(a)(6) and 401(a)(9).

### 3. Roth Rollover Type of Rollover Contribution

- ☐ Roth IRA Rollover - A distribution of all or part of your account balance from another Roth IRA which is being rolled over into your ESG Managers® Roth IRA within 60 days of receipt. Note that 365 days must have passed since you last received a rollover distribution from the distributing Roth IRA.

- ☐ Traditional IRA Conversion Distribution - A distribution from a Traditional IRA which is being converted and rolled over into your ESG Managers® Roth IRA within 60 days of receipt. Ordinary income taxes must be paid on the distribution in the year of the distribution. You may not convert any portion of a Required Minimum Distribution (RMD).
- ☐ Qualified Domestic Relations Order.
- ☐ Designated Roth Contribution Account - I certify that my employer's qualified 401(k) plan or 403(b) plan has made an Eligible Rollover Distribution from my Designated Roth Contribution Account that is being paid directly to me that I am rolling over to my ESG Managers® Roth IRA no later than the 60th day after receiving the Eligible Rollover Distribution. This 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 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 a Roth IRA with this Eligible Rollover Distribution from a Designated Roth Contribution Account, and that I am one of the following: the plan depositor; the surviving spouse of the deceased plan depositor; or the spouse or former spouse of the plan depositor under a Qualified Domestic Relations Order.

#### 4. Investment Instructions

Amount of Rollover \$ \_\_\_\_\_

Please purchase into the following fund(s):

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

#### 5. Certification

I certify that the contribution described above is an eligible IRA rollover contribution or conversion and that I am rolling over this contribution within 60 calendar days of my receipt of that distribution. I understand that this rollover-conversion is irrevocable and involves important tax considerations. Specifically, I understand that a rollover contribution from a qualified retirement plan will no longer be eligible for the special averaging, capital gains and separate tax treatment that may be available for distributions from such plans. Other tax considerations may also apply.

I agree that I am solely responsible for all tax consequences of this rollover contribution or conversion. I also agree that neither the IRA custodian nor ESG Managers® Portfolios shall have responsibility for any such tax consequences. Other restrictions regarding subsequent rollovers of this rollover contribution may also apply.

**I have read and understand and agree to be legally bound by the terms of this form. I also understand that the IRA Custodian will rely on this form when accepting my rollover contribution. I understand that this rollover is irrevocable and may not be reversed in the future. I also understand that I am responsible for the movement of the rollover to my successor IRA, and that neither State Street Bank & Trust Company, Boston Financial Data Services nor ESG Managers® Portfolios have any duty to enforce the collection of any assets to be rolled over to my ESG Managers® IRA.**

\_\_\_\_\_  
Signature of Depositor

\_\_\_\_\_  
Date