



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

## SIMPLE IRA Rollover Certification

Use this form **ONLY** if you have received an eligible distribution from your current SIMPLE IRA and are depositing those funds into your ESG Managers® SIMPLE 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.

### 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. Type of Rollover Contribution

ESG Managers® SIMPLE IRA Account Number (if applicable) \_\_\_\_\_

**(If you are establishing a new ESG Managers® SIMPLE IRA you must also complete a SIMPLE IRA Application).**

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

#### 70½ Rollover Restriction (Please check one)

- ☐ I am not nor will 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 rollover any amounts required to be distributed under Internal Revenue Code Sections 408(a)(6) and 401(a)(9).

### 3. Investment Instructions

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

Please purchase into the following fund(s):

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

#### 4. Certification

I certify that the contribution described above is an eligible SIMPLE IRA rollover contribution and that I am rolling over this contribution within 60 calendar days of my receipt of that distribution. I understand that this rollover is irrevocable and involves important tax considerations.

I agree that I am solely responsible for all tax consequences of this rollover contribution. I also agree neither the IRA custodian nor ESG Managers® Portfolios shall have any responsibility for any such tax consequences. I understand that 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® SIMPLE IRA.**

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Depositor's Signature

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Date