



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

Roth IRA Conversion Form (External)

Use this form to convert a Traditional, SEP or SIMPLE (after the required 2-year holding period) IRA from another custodian or trustee to an ESG Managers® Roth IRA. **DO NOT USE THIS FORM FOR A RECHARACTERIZATION.**

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.

ESG Managers® Roth IRA Account Number (if applicable) _____

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

2. Investment Instructions

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)

3. Tax Withholding Instructions

Federal Tax Withholding: Generally, IRA distributions are subject to 10% withholding unless you elect to have an additional amount withheld or elect to have no withholding. You may make a withholding election by selecting one of the options below. Please select one of the following: (If no selection is made, ESG Managers® Portfolios will withhold 10%, per IRS regulations).

Withholding will apply to the entire amount of the conversion distribution, including the amount of any non-deductible contributions that may have been made to your IRA. You may not convert any portion of a required minimum distribution (RMD). You may still invest the entire amount of the conversion distribution into your Roth IRA by using other assets to replace the amount withheld for federal income taxes.

If you are under age 59½ and you use assets of your IRA to pay taxes on the conversion distribution amount, either by liquidating additional shares or by not replacing amounts withheld for Federal Income Tax, the IRA assets used to pay those taxes could be considered a premature distribution since they are not being converted into a Roth IRA or rolled over into another IRA, and may also be subject to a 10% early withdrawal penalty.

- ☐ Do **NOT** withhold Federal Income Tax
- ☐ Withhold **10%** Federal Income
- ☐ Withhold _____ % Federal Income Tax (must be greater than 10%)

State Tax Withholding: Your state of residence will determine your State Income Tax withholding requirements, if any. Those states with mandatory withholding will require state income tax to be withheld from payments if federal taxes are withheld. Voluntary states let individuals determine whether they want state taxes withheld. Some states have no income tax on retirement payments. You may wish to consult with a tax advisor or your state's tax authority for additional information on your state requirements.

- ☐ I elect **NOT TO** have State Income Tax withheld from my retirement account distributions (only for residents of states that do not require mandatory state tax withholding).
- ☐ I elect **TO HAVE** the following dollar amount or percentage from my retirement account distribution withheld for State Income Taxes (for residents of states that allow voluntary state tax withholding): \$ _____ or _____ %.

4. Tell Us about Your Current IRA and Authorize 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.
- Attach a copy of a current statement if possible.

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® Roth IRA.

1. Fund Name or Type of Investment to be converted: _____

Account Number for Investment 1: # _____ ☐ Entire Account ☐ Partial \$: _____

☐ Traditional/Rollover IRA ☐ SEP IRA ☐ SIMPLE IRA (after 2 years)

For Certificates of Deposit ☐ Immediately ☐ At Maturity (Date: _____)

2. Fund Name or Type of Investment to be converted: _____

Account Number for Investment 2: # _____ ☐ Entire Account ☐ Partial \$: _____

☐ Traditional/Rollover IRA ☐ SEP IRA ☐ SIMPLE IRA (after 2 years)

For Certificates of Deposit ☐ Immediately ☐ At Maturity (Date: _____)

I authorize the above custodian of my IRA to liquidate the account(s) indicated for the purpose of converting them to an ESG Managers® Roth IRA. I understand it is my responsibility to assure the prompt conversion of assets by the current custodian. I understand the conversion is irrevocable. I agree I am solely responsible for all tax consequences of this conversion. I authorize ESG Managers® Portfolios and State Street Bank & Trust Company to process this request on my behalf.

Signature Depositor (required)

Date

Medallion Signature Guarantee (if required): 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

Roth IRA Conversion Form (External)**Instructions to Resigning Custodian/Transfer Agent.**

Please convert the following investments as specified in Section 4. Mail check to applicable address below made payable to: State Street Bank & Trust Company as Custodian for the ESG Managers® Roth IRA:

FBO: _____ Account #: _____

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
Phone: 888.374.8920

Acceptance by State Street Bank & Trust Company as Custodian.

State Street Bank & Trust Company as custodian for ESG Managers® Portfolios has established a Roth IRA for the above named shareholder and will accept the assets as a Conversion Contribution into the Roth IRA. If the above referenced account(s) are not a Traditional, SEP or SIMPLE IRA, please do not process the request but return it to the shareholder. ESG Managers® Portfolios and State Street Bank & Trust Company, as Custodian, cannot accept assets other than cash in check or draft form. Upon receipt of the check, the proceeds will be credited to the named participant's account.

Accepted by State Street Bank & Trust Company, as custodian for the ESG Managers® Portfolios.

Authorized Representative of State Street Bank & Trust Company

Date