

Rollover Form

Complete this form if you are rolling an outside qualified account into your Plan.

Disclaimer: Neither Betterment nor its representatives are engaged in rendering tax, accounting, ERISA or legal advice.

Step 1: Request and complete distribution paperwork from your prior provider; they may request the attached Letter of Acceptance (next page). Request your rollover check payable to:

Payable to: Betterment Securities FBO [Your Name]
Mail to: Betterment Securities
Attn: 401(k) Rollovers
8 W 24th St, 6th Floor
New York, NY 10010

Step 2: Complete the form below and send to: 401krollover@betterment.com

Your Prior Plan Information

Plan Name: _____
Carrier: _____

Your Current Information

Current Company: _____
Participant Name: _____ SSN (last 4): ***-**-
Residential Address: _____ Date of Birth: / /
(Cannot be a PO Box)
City: _____ State: _____ ZIP Code: _____

Source of Rollover Funds

Please select the type of account from which your rollover is coming.

401(a)/401(k) Plan Profit Sharing, Money Purchase Pension plan, 401(k), Pension Plan
 Traditional, pre-tax Roth

403(a)/403(b) Plan Includes qualified Tax Sheltered Annuity Plans
 Traditional, pre-tax Roth

457(b) governmental Includes a deferred compensation sponsored by a governmental entity
 Traditional, pre-tax Roth

Traditional IRA* Includes Traditional IRA, SEP IRAs, and SIMPLE IRAs
 Traditional, pre-tax

*Roth IRAs are not eligible for rollover into a 401(k) plan; SIMPLE IRAs must have been funded at least two years ago

Participant Acknowledgment and Signature

By signing this form, I hereby represent that the source of my rollover funds are from a tax qualified plan selected above.

Participant Signature: _____
Printed Name: _____
Date Signed: _____

Rollover Acceptance Letter

Dear Participant,

Your 401(k) plan at Betterment is a retirement plan qualified under §401(a) of the Internal Revenue Code. Your plan permits and will accept direct transfers from accounts qualified under Internal Revenue Code §§401(a), 401(k), 403(a), 403(b), 457(b) governmental, 408(a), and 408(b) of the Internal Revenue Code, excluding after-tax amounts. Designated Roth accounts from non-IRA plans are permitted for rollovers into your plan. Under current Treasury Regulations, you are not permitted to roll a Roth IRA into your 401(k) plan account.

You may provide this letter to your previous Plan Administrator to facilitate the rollover of your account to your plan. Your rollover check including back-up documentation on the previous plan may be sent to:

Betterment Securities
Attn: 401(k) Rollovers
8 W 24th St, 6th Floor
New York, NY 10010

Your check may be made payable to:

Betterment Securities
FBO [Your Name]
Memo: [Your New Employer's Name]

Sincerely,
Betterment Team