PRIVATE CLIENT SERVICES™

MEMBER FINRA, SIPC
A Registered Investment Advisor

PTE-2020-02 Rollover Form requirement (new purchases only)

	Receiving Account					
	ERISA Retirement Plan Accounts (ie. PSP, MPP, 401(k), etc.)	Traditional / Rollover IRA	Roth IRA	403B (Pre Tax)	SIMPLE IRA	SEP IRA
Delivering Account						
ERISA Retirement Plan Accounts (ie. PSP, MPP, 401(k), etc.)	No	Yes	Yes	Yes	Yes	Yes
Traditional / Rollover IRA	No	Yes	Not allowed	No	Yes	Yes
Roth IRA	No	Not allowed	Yes	No	Not allowed	Not Allowed
403B (Pre Tax)	No	Yes	Not allowed	Yes	Yes	Yes
SIMPLE IRA	No	Yes	Not allowed	Yes	Yes	Yes
SEP IRA	No	Yes	Not allowed	Yes	Yes	Yes

No – Fees and/or advisor compensation remain the same or lower

Yes – Fees and/or advisor compensation increase due to rollover or qualified plan transfer

Not Allowed - new purchase between account types not allowed due to tax guidelines