

Inherited IRA Transfer of Assets/ Direct Rollover Form



Use this form to request an inherited IRA trustee-to-trustee transfer of assets or a direct rollover from an existing retirement plan account you hold as the beneficiary of a deceased participant to your Inherited IRA at Voya Investment Management. Based on your instructions, BNY Mellon Investment Servicing Trust Company will initiate the transfer or rollover for you. Incomplete information will result in delays in processing your request. If you need assistance completing this form, please contact Shareholder Services at 1-800-548-4539.

A trustee-to-trustee transfer is a non-reportable transaction which occurs between like accounts – Inherited Traditional IRA to Inherited Traditional IRA, or Inherited Roth IRA to Inherited Roth IRA. Only assets inherited by the same beneficiary from the same deceased owner may be put in the account. Note Inherited SEP IRAs (and Inherited SIMPLE IRAs, after the required two-year holding period) can be transferred into a traditional Inherited IRA. Any assets in an Inherited IRA can only be moved via a trustee-to-trustee transfer.

Do not use this form if you are a spouse beneficiary who wishes to move their inherited assets into an IRA in your own name.

DIRECT ROLLOVER NOTICE

If this is a direct rollover of assets from a qualified plan, 403(b), or 457 plan, of which you are the beneficiary of a deceased participant, you affirm by signing page 2 of this form, that the assets are eligible for a direct rollover to an inherited IRA and that this an irrevocable election. The assets will no longer be eligible for special tax treatment which may be accorded to distributions from a qualified plan, 403(b), or 457 plan.

You should contact the current plan administrator or custodian prior to completing this form to ensure that you have received and completed any in-house forms that they may require. Direct rollovers from a qualified plan to an IRA can only be in the form of cash (Transfer-In-Kind is not an option).

INHERITED IRA OWNER INFORMATION

_____ Name	_____ Date of Birth (mm/dd/yyyy)	_____ Social Security Number
_____ Residential Address (P.O. Box not accepted; APO/FPO addresses accepted)		_____ Telephone Number
_____ City	_____ State	_____ Zip Code

ORIGINAL IRA OWNER'S INFORMATION

_____ Original IRA Owner's Full Name	_____ Date of Birth (mm/dd/yyyy)	_____ Date of Death
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If you are a successor/ subsequent beneficiary, (i.e., a beneficiary of an Inherited IRA established by a now deceased beneficiary of the deceased original owner) please also provide the Deceased Beneficiary's details.

_____ Original IRA Owner's Full Name	_____ Date of Birth (mm/dd/yyyy)	_____ Date of Death
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INVESTMENT INSTRUCTIONS

Complete items A, B, C, and D.

A. I am opening a new Inherited IRA and have attached the required Voya Investment Management Inherited IRA application.

Deposit the proceeds into my existing Inherited IRA. Account Number: _____

B. Type of account transferring into: Traditional Inherited IRA (including SEP, or SIMPLE¹ Inherited IRA) Roth Inherited IRA

¹If the required two-year holding period has been met

C. Invest as follows:

_____ Fund Name and Number	_____ Dollar Amount \$	_____ or Percentage
_____ Fund Name and Number	_____ Dollar Amount \$	_____ or Percentage
_____ Fund Name and Number	_____ Dollar Amount \$	_____ or Percentage Must equal 100%

D. Type of Request:

IRA Transfer of Assets (TOA)

Direct Rollover* of an Inherited Qualified Plan assets to an Inherited IRA Direct Rollover* of Inherited 403(b) or 457 assets to an Inherited IRA

*Please contact your current plan administrator for distribution/rollover requirements, your plan may require in-house forms or other action.

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CURRENT CUSTODIAN AND ACCOUNT INFORMATION

Name of Current Custodian _____ Telephone Number _____ Contact Name _____
 Address _____
 City _____ State _____ Zip _____

Note: You may wish to contact the current custodian to confirm if a Medallion Signature Guarantee is required to process your transfer request. Please see the Participant Authorization section for an explanation of the Medallion Signature Guarantee.

Type of account you are transferring/rolling over (check one):

- Inherited Traditional IRA
 Inherited Roth IRA
 SEP Inherited IRA
 SIMPLE Inherited Inherited IRA
 403(b) or 457 Designated Roth
 Qualified Plan
 Qualified Plan Designated Roth
 403(b) or 457

Account Number: _____

A. Check one: Liquidate or Transfer-in-Kind (only applies to at Voya Investment Management assets held in an IRA)

B. Check one: Full Account Value or Parital amount - Specific amount from the Investments listed below (attach additional pages if needed)

Fund Name/TICKER/CUSIP	Partial Dollar Amount	or # of Shares
_____	_____	_____
_____	_____	_____
_____	_____	_____

For Certificate of Deposits Only: Immediately* At Maturity Date _____

*Note: If you wish to have certificates of deposit transferred immediately and they have not matured, you may incur a redemption penalty. We cannot accept requests to transfer of assets from certificates of deposit more than 60 days before maturity.

If the inherited IRA has established required minimum distribution ("RMD") payments, please provide the prior year account value: \$ _____

PARTICIPANT AUTHORIZATION

I authorize the transfer of assets or direct rollover as noted above to my Voya Investment Management IRA and authorize my current custodian, Voya Investment Management and BNY Mellon Investment Servicing Trust Company to process this request on my behalf. I understand it is my responsibility to insure the prompt transfer of assets or direct rollover by the current custodian. I have read and understand all information on this form and hereby provide the applicable authorization.

Participant's Signature _____ Date _____

Mail to the following:

First Class Mail:

Overnight Mail:

Voya Investment Management
P.O. Box 534480
Pittsburgh, PA 15253-4480

Voya Investment Management
Attention: 534480
1350 Penn Avenue, Suite 102
Pittsburgh, PA 15262

(800) 992-0180

Medallion Signature Guarantee Stamp and Signature (If required by your current custodian or transfer agent): 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.