



**Hilltop Securities Inc. and/or Broker/Dealers for which it clears**  
 Hilltop Securities Inc. Member NYSE/FINRA/SIPC

New Account  
 Update

## IRA Distribution Request Form

### 1. HTS Account Information.

HTS Account Number: \_\_\_\_\_ Date: \_\_\_\_\_

Full Name (First, Middle, Last) \_\_\_\_\_ SSN/Taxpayer ID # \_\_\_\_\_ Date of Birth \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State/Province \_\_\_\_\_ Country \_\_\_\_\_ Zip \_\_\_\_\_

### 2. Type of IRA. (Check ONE)

1. Traditional  2. Roth ( >5yrs or  <5yrs)  3. SEP  4. SIMPLE ( Before or  After 2 years since 1<sup>st</sup> Employer Contribution)

### 3. Type of Distribution. (Check ONE)

- 1.a Normal Distribution (Over age 59½)
  - b. If Normal, is this a Required Minimum Distribution?  Yes  No
- 2. Beneficiary IRA -  Traditional or  Roth
- 3. Divorce (Attach copy of divorce decree)
- 4. Disability (as defined under IRS Code Section 72(m)(7))
- 5. IRA to Qualified Plan (Attach a letter of acceptance-not used for IRA to IRA transfers)
- 6. Early-Under age 59½ (Exceptions to IRS 10% penalty must be filed on Form 5329) \*IRS 10% penalty is exclusive from your Federal tax election in section 5 of this form.
- 7. Removal of Excess Contribution for Prior Year \_\_\_\_\_
- 8. Removal of Excess Contribution for Current Year
- 9. Removal of Excess Contribution plus earning before tax filing deadline. Is contribution being removed in same year?  Yes  No

### 4. Distribution Type. (Check ONE)

- A. Distribute my entire account and close my account. (Note: Subject to a closing fee.)
- B. Distribution Request Gross Amount \$ \_\_\_\_\_ Net Amount \$ \_\_\_\_\_
  - i. Cash portion gross amount: \$ \_\_\_\_\_
  - ii. Security portion gross amount: \$ \_\_\_\_\_

Distribute the following securities. (Please provide # of shares. We cannot process the request on \$ amount.)

Asset Description	Quantity	Price/Value	Asset Description	Quantity	Price/Value

All Dividend/Interest Income (Recurring Only)

### 5. Tax Withholding – Form W-4P/OMP No. 1545-0415.

The Tax Equity and Fiscal Responsibility Act of 1982 requires withholding of Federal Income Taxes from distributions beginning on January 1, 1983, unless the recipient elects not to have withholding apply. You may elect out of this withholding by checking the appropriate box below. IF NO ELECTION IS MADE, THE CUSTODIAN MUST WITHHOLD TAXES AT THE REQUIRED RATE (10%). Penalties may be incurred under the estimated tax rules if your withholding and/or estimated tax payments are not sufficient.

Please select one of the following required options for federal withholding. This withholding election only applies to this request. Do not leave this section blank:

- I elect to have no federal income tax withheld from my Retirement Account Distribution.
- I want the following federal percentage/\$ withheld \_\_\_\_\_ (not less than 10%) from each payment.

Please select one of the following for state withholding. This withholding election only applies to this request. Leave this section blank if your state does not have a state income tax requirement:

- I elect to have no state income tax withheld from my Retirement Account Distribution.
- I want the following state percentage/\$ withheld \_\_\_\_\_. Not applicable to all states. Please confirm with your Financial Advisor.

