



# Individual Retirement Account (IRA) Roth Conversion Form

**YOUR ORIGINAL SIGNATURE IS REQUIRED IN SECTION 6**

- Use this form to request that assets in a Traditional, SEP or SIMPLE IRA be converted to a Roth IRA with U.S. Global Investors, Inc. (U.S. Global).
- In some cases, you may not be eligible to convert your assets to a Roth IRA. Please refer to IRS Publication 590 and the instructions for Form 8606 for rules and scenarios related to Roth IRA conversions. These publications can be obtained from the IRS website at [www.irs.gov](http://www.irs.gov).
- Please consult your tax advisor if you have any questions, as U.S. Global cannot provide tax advice.

## 1. ACCOUNT OWNER

Full Name (First, Middle Last) \_\_\_\_\_ Social Security Number \_\_\_\_\_ Date of Birth \_\_\_\_\_

E-Mail Address \_\_\_\_\_ Daytime Phone Number (include area code) \_\_\_\_\_ Evening Phone Number (include area code) \_\_\_\_\_

## 2. CONVERSION REQUEST

Type of current IRA plan:

- Traditional IRA     SEP IRA     SIMPLE IRA

## 3. FUND ACCOUNT AND CONVERSION AMOUNT

I hereby direct the Custodian to make the following conversion(s):

U.S. Global IRA Account Number: \_\_\_\_\_ Fund Name: \_\_\_\_\_

- Total conversion     Partial conversion:  \$ \_\_\_\_\_ OR  Number of shares \_\_\_\_\_

U.S. Global IRA Account Number: \_\_\_\_\_ Fund Name: \_\_\_\_\_

- Total conversion     Partial conversion:  \$ \_\_\_\_\_ OR  Number of shares \_\_\_\_\_

U.S. Global IRA Account Number: \_\_\_\_\_ Fund Name: \_\_\_\_\_

- Total conversion     Partial conversion:  \$ \_\_\_\_\_ OR  Number of shares \_\_\_\_\_

U.S. Global IRA Account Number: \_\_\_\_\_ Fund Name: \_\_\_\_\_

- Total conversion     Partial conversion:  \$ \_\_\_\_\_ OR  Number of shares \_\_\_\_\_

## 4. CONVERSION REQUEST

Deposit into my existing U.S. Global Roth IRA account number: \_\_\_\_\_

Invest in a new U.S. Global Roth IRA account. A completed and signed IRA application is enclosed.

**Please note:** To deposit to your existing U.S. Global account(s), the amount of the redemption must meet the minimum subsequent purchase amount (or initial purchase amount, if your account has zero shares) for the fund into which you are depositing the proceeds. The subsequent purchase amount is \$100.00 per transaction per fund account. The initial purchase amount is \$5,000.00 per fund account for non-money market funds, and \$1,000.00 for money market funds.

## 5. FEDERAL TAX WITHHOLDING

In general, retirement distributions you receive are subject to federal and, in some states, state income tax. The law requires withholding of federal income taxes from retirement distributions unless you choose not to have withholding apply by checking the appropriate box in the Tax Withholding Election section on this page. If no selection is made, we are required to withhold 10% of your distribution for Federal Income Tax purposes. This does not apply to Roth IRA distributions.

**5. FEDERAL TAX WITHHOLDING (CONTINUED)**

If no tax is withheld, you may still be subject to federal and state tax on this income. You may also be subject to IRS penalties under rules for estimated tax if your payments or estimated tax and federal/state tax withheld, if any, are not sufficient. Your withholding election will remain in effect until revoked by you. **Please note that U.S. Global will only withhold for federal taxes.**

**Tax Withholding Election (check one)**

- I DO NOT want to have federal income tax withheld from my distribution.
- I DO want to have federal income tax withheld from my distribution at the rate of \_\_\_\_\_ % (whole number at least 10%) or \$ \_\_\_\_\_ .

**6. AUTHORIZATION AND SIGNATURE**

I hereby direct the custodian to make the conversion described above from the IRA(s) referenced above. I understand and acknowledge that U.S. Global (including the Custodian of my IRA) will be acting solely on my representations and instructions as set forth in this form, and that U.S. Global Investors (including the Custodian of my IRA) will not independently verify whether or not I qualify for the type or amount of conversion directed. I understand and acknowledge that I alone am responsible for all tax consequences that may result from performing such conversion and that I should seek the advice of an attorney or qualified tax advisor regarding my specific situation.

\_\_\_\_\_  
Signature of IRA Account Owner

\_\_\_\_\_  
Date (mm/dd/yy)

When completed, send  
this form to:

**Standard Mail Address:**

U.S. Global Investors, Inc.  
Attn: Shareholder Services  
PO Box 659405  
San Antonio TX 78265-9604

**Overnight Mail Address:**

U.S. Global Investors, Inc.  
Attn: Shareholder Services  
7900 Callaghan Rd  
San Antonio TX 78229-2327

**If you have any questions, or need additional assistance, please contact an Investor Representative at  
1-800-US-FUNDS (1-800-873-8637)**