February 2012 Printed Forms Checklist

IMPORTANT NOTE TO ELECTRONIC FORMS USERS
Updated forms and potential changes are delivered to you in periodic, electronic form updates. In certain instances, the most current version of an electronic form may vary from a printed form. To determine the most current version of an electronic form, please contact eforms@ascensus.com.

Ascensus' forms and documents are constantly monitored to accommodate changes brought about by new tax laws and, equally important, to respond to your requests and needs. This *Forms Checklist* provides you with the date of the most current version of the designated form or document. Versions which are *technically inaccurate* because of subsequent law changes or IRS pronouncements are listed in the column entitled "Obsolete Version." If no date appears in the obsolete column, all existing versions may be used—and so, the current version of pre-printed forms are generally available upon the depletion of existing inventory supplies. **This checklist will be updated periodically.**

If you need assistance or would like to update your forms inventory, contact a Customer Service Representative at 800-346-3860, option 2.

IRA

No.	Name	Current Version	Obsolete Version
97	Traditional IRA Simplifier Trust – 5305	1/2009	Any prior to 5/2002 ▲✦■
97-IH	Traditional Inherited IRA Establishment Kit Trust	1/2009	Any prior obsolete
98	Traditional IRA Simplifier Custodial – 5305-A	1/2009	Any prior to 5/2002 ▲✦
98-IH	Traditional Inherited IRA Establishment Kit Custodial	1/2009	Any prior obsolete
98cu	Traditional IRA Simplifier Custodial – 5305-A *(for credit unions)*	1/2009	Any prior to 5/2002 ▲✦
98-CI	Traditional Inherited IRA Establishment Kit Custodial *(for credit unions)*	1/2009	Any prior obsolete
100	Traditional IRA Simplifier Self-Directed Custodial – 5305-A	1/2009	Any prior to 5/2002 ▲✦
100-IH	Traditional Inherited IRA Establishment Kit Self-Directed Custodial	1/2009	Any prior obsolete
103	IRA Rollover Certification	1/2007	Any prior to 1/2002 ✚■■
104	IRA Signature Card	4/2006	••
107	IRA Contribution	4/2006	Any prior to 1/2002 •• ■■
109	IRA Eligibility and Information	10/2011	Any prior to 1/2002 ✷✷
110	Conduit IRA Notice and Election	4/2006	Any prior to 1/2002 ✘
112	IRA Contribution/Investment	4/2006	Any prior to 1/2002 ■■
121	IRA Beneficiary Reminder Notice	4/2006	
122	IRA Required Distribution Notice	4/2006	
123	IRA Excess Worksheet	4/2006	Any prior to 1/2002
174	Self-Directed IRA Withdrawal Statement	6/2010	Any prior to 10/2004 ✦✦
301	IRA Designation of Beneficiary	4/2006	
302	IRA Transfer Request	5/2009	Any prior to 5/2002
303	Carryback Contribution Authorization	4/2006	10/84
305	IRA Recharacterization Request	4/2008	
307	Inherited IRA Designation of Beneficiary	4/2006	
311	Change of Account Information	4/2006	
314	IRA Withdrawal Statement	6/2010	Any prior to 10/2004 ✦✦
317	IRA Withholding Notice and Election	1/2008	3/87
319	IRA Substantially Equal IRA Distribution Notice and Certification	1/2008	Any prior to 11/2002
321	Beneficiary Distribution Election	4/2006	Any prior to 11/2002 •
322	Required Minimum Distributions (RMD)	1/2008	Any prior to 8/2002
323	Notice of Distribution	4/2006	
340	Retirement Account Certificate	6/95	Any prior obsolete
340cu	Retirement Term Share Account *(for credit unions)*	6/95	
487	Direct Rollover Request	5/2009	Any prior to 1/2002 ✚■■
489	Automatic Rollover Agreement	4/2008	▲▲

▲ Versions prior to 1/2007 require a disclosure statement amendment(s).
▲▲ Versions prior to 4/2008 should be used with caution regarding automatic rollovers to inherited IRAs.
✘ Only available via custom print or electronically.
• Versions prior to 4/2006 should not be used for Roth IRAs.
•• These forms are available in print or electronically via copyright agreement.
✦ Versions prior to 8/2003 do not contain model language to satisfy the customer notice requirement of the Customer Identification Program (CIP) of the USA Patriot Act.
✦✦ Versions prior to 10/2006 do not contain instruction for use with qualified reservist distributions.
✚ Versions prior to 1/2007 should not be used to request or to certify a rollover of inherited retirement plan assets into an inherited IRA.
■ Include use for managed and self-directed trust accounts.
■■ Versions prior to 4/2008 should be used with caution regarding rollovers of designated Roth contributions.
✷✷ Versions prior to 10/2006 should be used with caution regarding the maximum permitted modified adjusted gross income for Roth IRA contributions and regarding Roth IRA rollovers and conversions.

IRA (continued)

No.	Name	Current Version	Obsolete Version
1097	SIMPLE IRA Simplifier Trust – 5305-S	1/2009	Any prior to 6/2002 ▲▲ ✦ ■
1098	SIMPLE IRA Simplifier Custodial – 5305-SA	1/2009	Any prior to 6/2002 ▲▲ ✦
1100	SIMPLE IRA Simplifier Self-Directed Custodial – 5305-SA	1/2009	Any prior to 6/2002 ▲▲ ✦
6097	Roth IRA Simplifier Trust – 5305-R	1/2009	Any prior to 5/2002 ▲ ✦ ■
6097-IH	Roth Inherited IRA Establishment Kit Trust	1/2009	Any prior obsolete
6098	Roth IRA Simplifier Custodial – 5305-RA	1/2009	Any prior to 5/2002 ▲ ✦
6098-IH	Roth Inherited IRA Establishment Kit Custodial	1/2009	Any prior obsolete
6098cu	Roth IRA Simplifier Custodial – 5305-RA *(for credit unions)*	1/2009	Any prior to 5/2002 ▲ ✦
6098-CI	Roth Inherited IRA Establishment Kit Custodial *(for credit unions)*	1/2009	Any prior obsolete
6100	Roth IRA Simplifier Self-Directed Custodial – 5305-RA	1/2009	Any prior to 5/2002 ▲ ✦
6100-IH	Roth Inherited IRA Establishment Kit Self-Directed Custodial	1/2009	Any prior obsolete
6103	Roth IRA Rollover Certification	5/2009	Any prior to 1/2002 ✘ ✚ ✚✚ ■■
6123	Roth IRA Excess Worksheet	4/2006	Any prior to 1/2004
6174	Self-Directed Roth IRA Withdrawal Statement	1/2008	Any prior to 10/2004 ✘✘ ✦✦
6302	Roth IRA Transfer Request	5/2009	Any prior to 5/2002
6305	Roth IRA Direct Conversion Request	1/2010	Any prior to 10/2008
6306	Roth IRA Conversion Certification	1/2010	Any prior to 10/2008
6314	Roth IRA Withdrawal Statement	1/2008	Any prior to 10/2004 ✘✘ ✦✦
6322	Roth IRA Qualified Distributions	4/2006	

▲ Versions prior to 4/2008 require a disclosure statement amendment(s).
▲▲ Versions prior to 10/2006 require a disclosure statement amendment.
✘ Versions prior to 7/2008 should not be used to certify rollovers of military death gratuities or Servicemembers' Group Life Insurance (SGLI) payments.
✘✘ Versions prior to 8/2005 should be used with caution regarding revocations.
✦ Versions prior to 8/2003 do not contain model language to satisfy the customer notice requirement of the Customer Identification Program (CIP) of the USA Patriot Act.
✦✦ Versions prior to 10/2006 do not contain instruction for use with qualified reservist distributions.
✚ Versions prior to 1/2007 should not be used to request or to certify a rollover of inherited retirement plan assets into an Inherited IRA.
✚✚ Versions prior to 1/2008 should not be used to certify the rollover of retirement plan assets into an IRA.
■ Include use for managed and self-directed trust accounts.
■■ Versions prior to 4/2008 should be used with caution regarding rollovers of designated Roth contributions. For conversion certification, use Form #6306, *Roth IRA Conversion Certification*.

COVERDELL EDUCATION SAVINGS ACCOUNT (ESA)

No.	Name	Current Version	Obsolete Version
5097	Coverdell ESA Simplifier Trust – 5305-E	7/2008	✤ ✦ •
5098	Coverdell ESA Simplifier Custodial – 5305-EA	7/2008	✤ ✦ •
5098cu	Coverdell ESA Simplifier Custodial – 5305-EA *(for credit unions)*	7/2008	✤ ✦ •
5103	Coverdell ESA Rollover Certification	7/2008	Recommend 12/2003 or later ✘
5107	Coverdell ESA Contribution	6/2009	Any prior to 1/2002
5123	Coverdell ESA Excess Worksheet	4/2006	
5301	Coverdell ESA Designation of Beneficiary	4/2006	Any prior to 1/2002
5302	Coverdell ESA Transfer Request	5/2009	Any prior to 7/2001
5311	Coverdell ESA Change of Account Information	4/2006	
5314	Coverdell ESA Withdrawal Statement	4/2006	Any prior to 1/2002

✤ No prior version is obsolete; however, using the 5/2002 version or later is recommended.
✦ Versions prior to 8/2003 do not contain model language to satisfy the customer notice requirement of the Customer Identification Program (CIP) of the USA Patriot Act.
• Versions prior to 7/2008 do not contain updates for the Heroes Earnings Assistance Relief Tax (HEART) Act of 2008.
✘ Versions prior to 7/2008 should not be used to certify rollovers of military death gratuities or Servicemembers' Group Life Insurance (SGLI) payments.

HEALTH SAVINGS ACCOUNT (HSA)

No.	Name	Current Version	Obsolete Version
3103	HSA Rollover Certification	1/2012	Any prior obsolete
3107	HSA Contribution/Investment Form	5/2007	Any prior to 10/2004 ■
3109	HSA Eligibility and Information	1/2012	Any prior obsolete
3123	HSA Excess Worksheet	4/2006	
3301	HSA Designation of Beneficiary	4/2006	Any prior to 10/2004
3302	HSA Transfer Request	5/2009	Any prior to 10/2004
3314	HSA Withdrawal Statement	4/2006	Any prior to 10/2004
3322	Qualified HSA Funding Distribution Request	6/2009	
3499	HSA Establishment Kit Trust – 5305-B	1/2011	Any prior to 10/2004 ▲
3500	HSA Establishment Kit Custodial – 5305-C	1/2011	Any prior to 10/2004 ▲
3500cu	HSA Establishment Kit Custodial – 5305-C *(for credit unions)*	1/2011	Any prior to 10/2004 ▲

■ Versions prior to 3/2007 should not be used if contribution is made via qualified HSA funding distribution from an IRA.
▲ Ascensus strongly recommends using the current version; however, disclosure statement amendment(s) may be used with versions prior to 3/2007.

SEP & SIMPLE IRA PLAN

No.	Name	Current Version	Obsolete Version
407	SEP Contribution Statement	1/2007	Any prior to 9/2002
STANDARD SEP PLAN PROTOTYPE (Kit #400)			
418	Standard SEP Adoption Agreement	9/2002	Any prior obsolete
419	Standard SEP Plan Document	9/2002	Any prior obsolete
422	Standard SEP Summary for Employees	1/2007	Any prior to 9/2002
423	Standard SEP Employer Eligibility Form	9/2002	Any prior obsolete
UNIVERSAL SEP PLAN PROTOTYPE (Kit #410)			
408	Universal SEP Adoption Agreement	9/2002	Any prior obsolete
409	Universal SEP Plan Document	9/2002	Any prior obsolete
412	Universal SEP Salary Reduction Agreement	1/2007	Any prior to 9/2002
413	Universal SEP Summary for Employees	1/2007	Any prior to 9/2002
414	Universal SEP Discrimination Test Worksheet	1/2007	Any prior to 12/96
424	About the Universal SEP	1/2007	Any prior to 9/2002
425	Adoption Agreement Instructions	1/2007	Any prior to 9/2002
426	Universal SEP Top-Heavy Test Worksheet	9/2002	Any prior obsolete
427	Universal SEP Employer Eligibility Form	9/2002	Any prior obsolete
428	Notification of Excess Elective Deferrals/Notification of Disallowed Deferrals	9/2002	Any prior obsolete
SEP PLAN PROTOTYPE EMPLOYEE INFORMATION BOOKLETS			
411	Universal SEP Employee Information Booklet	1/2007	Any prior to 9/2002
421	Standard SEP Employee Information Handbook	1/2007	Any prior to 9/2002
GOVERNMENT SEP PLAN BOOKLET			
416	5305-SEP Plan Kit	1/2007	Any prior to 4/2002
SIMPLE IRA PLAN PROTOTYPE (Kit #600)			
615	SIMPLE IRA Plan Eligibility Form	9/2002	
616	SIMPLE IRA Plan Salary Reduction Agreement	1/2007	Any prior to 9/2001
617	SIMPLE IRA Plan Participation Notice & Summary Description	1/2007	Any prior to 9/2001
618	SIMPLE IRA Plan Adoption Agreement	9/2002	Any prior obsolete
619	SIMPLE IRA Plan Basic Plan Document	9/2002	Any prior obsolete
GOVERNMENT SIMPLE IRA PLAN BOOKLETS			
516	5305-SIMPLE – For use with a DFI	10/2008	Any prior to 5/2002
517	5304-SIMPLE – Not subject to DFI rules	10/2008	Any prior to 5/2002

A *Qualified Plan Forms Checklist* and a *600-Series Brochure Checklist* is also available. Please call a Customer Service Representative at 800-346-3860, menu option 2 to request a #800QP or #800-Brochure.