

ROTH IRA CONVERSION FORM

• **If you have any questions about completing this Application, please call Neuberger Berman Retail Services at 800.877.9700, Monday-Friday, from 9AM to 6PM Eastern Time.**

- Use this Form to convert an IRA to a ROTH IRA.
- This Form must be accompanied by a ROTH IRA Application.
- If you are converting your Neuberger Berman IRA to an existing Neuberger Berman ROTH Conversion IRA, please indicate fund(s), account number(s) and amount to be converted. Please provide this information in Section 1 below.

• **Please return this Form to:**

Regular Mail:
 Neuberger Berman Funds
 PO Box 219189
 Kansas City, MO 64121-9189

Overnight Mail:
 Neuberger Berman Funds
 430 West 7th Street, Suite 219189
 Kansas City, MO 64105-1407

• **This form may be faxed to 816.218.0478.**

PLEASE TYPE OR PRINT CLEARLY IN INK

1 | ACCOUNT REGISTRATION

Account Number (omit lead zeros)		
Name		
Social Security Number		
Fund		
Address		
City	State	Zip Code
Daytime Telephone		Evening Telephone
E-Mail		
Type of Account:		
<input type="checkbox"/> IRA	<input type="checkbox"/> SEP-IRA	<input type="checkbox"/> SIMPLE Retirement Plan

2 | NEUBERGER BERMAN FUND ACCOUNT INFORMATION

I have established a ROTH IRA at Neuberger Berman BD LLC. Account Number (if available):
Account Number (omit lead zeros)
If you want to keep the same fund choice(s) as your original Neuberger Berman IRA, check here. <input type="checkbox"/>
Distribution Amount _____
Please note that if you are age 70 ½ or older the Required Minimum Distribution (RMD) for the current year may not be converted. This amount MUST be distributed to you prior to the completion of your conversion.

3 | WITHHOLDING

Federal Income Tax

Federal law requires you to make a withholding tax election on any distributions made from your IRA. If you fail to make such an election, your IRA custodian is required to withhold Federal income tax equal to 10% of your total distribution. This amount will be sent to the IRS and reported under your Social Security Number.

Select One:

- I do not want Federal income tax withheld from this distribution
- Please withhold _____% (Select a percentage between 10% and 100%) from this distribution

State Income Tax

The following states require state income tax withholding from IRA distributions. AR, CA, DC, DE, IA, KS, MA, ME, MI, NC, NE, OK, OR and VT.

The specific withholding requirements vary by state and may change from time to time. Shown below are the **GENERAL INCOME TAX WITHHOLDING REQUIREMENTS** by state. NOTE: If you are a resident of one of the states shown above (except for CA, CT, DE and NC) and you elect to have federal taxes withheld, we **must**, as a minimum, withhold state income tax in the amount shown below for your state. If you elect not to have federal income tax withheld, we cannot withhold state income tax.

Please consult your tax or financial advisor for the state income tax withholding requirements for your specific situation as income and filing status may affect the required withholding amount in your state.

State	Minimum Withholding %
AR	3% of redemption amount
CA	10% of the federal withholding amount
CT	6.99% of redemption amount whether or not federal applies
DC	8.95% of the redemption amount*
DE	5% of the redemption amount
IA	5% of the redemption amount
KS	4.5% of the redemption amount (above \$200.00)
MA	5.15% of the redemption amount
MD	7.75% of the redemption amount required when Federal Withholding is applied to ERDs (QRPs)**
ME	5% of the redemption amount
MI	4.25% of the redemption amount whether or not federal applies
MS	5% of redemption amount, if an early distribution 3%
NC	4% of the redemption amount (above \$200.00)**
NE	5% of the redemption amount (QRPs)**
OK	5% of the redemption amount
OR	8% of the redemption amount
VA	4% of the redemption amount (QRPs)**
VT	2.4% of the redemption amount

*Applies to Lump Sum Distributions Only.

** IRA, SEP exempt
ERD: Eligible Rollover Distributions
QRP: Qualified Retirement Plan

- I am a resident of CA, CT, DE, NC or MI and wish to opt out of state income tax withholding.

If state withholding applies, it will be calculated based on your state's applicable minimum withholding requirements as shown above.

You may also optionally elect a specific dollar amount **in addition** to your state's minimum requirement \$_____

4 | INVESTMENT SELECTION

Please make my investment(s) in the following Neuberger Berman Fund(s). Please read the prospectus for information on funds that are closed to investors. Please read the prospectus for information on funds that are subject to a redemption fee on the sale or exchange of shares.

Fund _____ \$ _____ or _____ %
 Fund _____ \$ _____ or _____ %
 Fund _____ \$ _____ or _____ %
Total \$ _____ or 100%

5 | SIGNATURE

Please accept this as your authorization and instruction to convert the assets noted in Section 1. I am aware of and acknowledge any taxes that may apply.

X

Signature _____

Date _____