

Account Transfer Form Instructions

Complete all sections according to the instructions below. Please print or type all information. Return the completed form to your financial organization.

You must attach your most recent brokerage account statement to process this account transfer. For an internal transfer (for instance, a transfer of assets between two introducing broker-dealers who clear through Pershing) the brokerage account statement is not required. Non-U.S. positions being transferred into your account will be held in U.S. dollars unless your financial firm instructs Pershing to hold the non-U.S. positions in their original currency.

Step 1. Receiving Firm Information

- Provide your Pershing account number.
- Provide your Social Security Number (SSN) or Tax Identification Number (TIN).
- If the account is a joint account, provide the SSN or TIN for the joint owner.
- Provide the two character account type code that most accurately describes your account.

Step 2. Delivering Account Information

- Provide the clearing firm number. If there is no clearing firm number, enter the delivering firm name, contact name, and telephone number.
- Provide the original account number of the account you are delivering to Pershing.
- Provide the account title as it appears on your brokerage account statement for the account you are transferring.

Step 3. Transfer Type

Indicate the type of transfer you are requesting by checking the appropriate box. Pershing will only transfer positions in kind for retail accounts. For nonretirement accounts, the quickest way to liquidate your assets is to call your existing financial organization and place a sell order. In order to ensure that the trade is executed at the time and price you want, request to have the proceeds check mailed directly to you. For checks, please refer to delivery instructions on this page (include your account number on the check).

- A Direct Registration System (DRS)/Direct Reinvestment Plan (DRIP) transfer is a transfer of a position held directly at the transfer agent.
- A direct mutual fund transfer is a transfer in kind of a direct mutual fund position from the mutual fund company.
- Bank retirement plan accounts involve transfers of retirement plans at banks with CDs, checking accounts, or savings accounts. Please indicate if you want to liquidate immediately or defer these instructions until maturity date. Please contact your financial organization to stop any automated rollover reinvestments. (Please read Step 5 and sign when applicable.)

Step 4. Partial Transfers, Direct Mutual Funds, and Liquidations

If you selected Partial Transfer, use this section to specify the appropriate assets for a partial transfer. If you selected Direct Mutual Fund Transfer, use this section to identify the mutual fund positions to transfer.

- Liquidation instructions will only be accepted from non-National Securities Clearing Corporation (NSCC) firms.
- Select a dividend and capital gain option for direct, in kind mutual fund transfers. If a box is not checked, Pershing will process the transfer as reinvest, for dividend and capital gain options.
- If you have requested a liquidation, your market price is not guaranteed. You will receive the current market price after your transfer request is received, reviewed, and determined to be in good order by the delivering firm. Pershing is not responsible for market fluctuations or delays in the review process. DRS items cannot be liquidated.

Step 5. Retirement Plan Restrictions and Certifications

If you are transferring a retirement account and are over the age of 70½, read this section carefully. Contact your investment professional or financial organization if you have any questions.

- The new custodian must provide the appropriate paperwork.
- For retirement accounts for which Pershing LLC acts as the custodian or servicing agent, you must pay all termination fees to your prior custodian before you can transfer assets. Any deposit made to your Pershing LLC custodian account to reimburse fees after the transfer shall be processed as a current year contribution.

If you are transferring from a trustee, make the appropriate selection. If you have selected someone other than Pershing LLC as custodian, have your investment professional or financial organization obtain the necessary signatures to accept custodianship.

Step 6. One in the Same Person Certification

Only complete this section if the name on the receiving account and the name on the delivering account are not an exact match but are the same person. Examples of discrepancies include name differences due to abbreviations and suffixes (Sr., Jr., etc.).

Step 7. Participant Signature and Certification

- Sign and date the form.
- The form must be signed, dated, and signature guaranteed within 90 days of its receipt.

Account Transfer Form

STEP 1. RECEIVING FIRM INFORMATION

Receiving Firm Clearing Number 0443	Account Number
Primary Account Holder SSN/Tax ID	Secondary Account Holder SSN/Tax ID

ONLY ONE RECEIVING FIRM PER FORM.

Account Type (two-character code)

Account Type Codes

NONRETIREMENT		RETIREMENT			
SN Single	CU Custodian	IR Traditional IRA	4K 401k	4B 403b	
JT Joint	ES Estate	RI Roth IRA	SI Simple IRA	7b 457 Plan	
TR Trust	BC Bank Custody	DR Direct Rollover	QP Qualified Plan	5p 529 Plan	
CT Cotrustee	AG Agency	BI Beneficiary	EI Education Savings Account	HS Health Savings Account	
CO Corporate	OT Other	BR Beneficiary Roth IRA			

STEP 2. DELIVERING ACCOUNT INFORMATION

Clearing Number	Account Number
Firm Name	
Account Title (as it appears on your statement)	

A COMPLETE COPY OF YOUR MOST RECENT BROKERAGE ACCOUNT STATEMENT IS NECESSARY TO PROCESS THIS FORM. NON-U.S. POSITIONS BEING TRANSFERRED INTO YOUR ACCOUNT WILL BE HELD IN U.S. DOLLARS UNLESS YOUR FINANCIAL FIRM INSTRUCTS PERSHING TO HOLD THE NON-U.S. POSITIONS IN THEIR ORIGINAL CURRENCY.

Delivering Firm Contact Information (mandatory when clearing number is not provided)

Contact Name	Telephone Number	
Firm Address (no P.O. box)		
City	State	Zip/Postal Code

This space intentionally left blank.



TFRR

STEP 3. TRANSFER TYPE

Choose only one.

Account Transfer

- Full** (check one below)
 - Transfer all assets in kind (skip to Step 7).
 - Liquidate all assets listed in Step 4 (liquidations are not for brokerage accounts).
 - Transfer all assets in kind except for the assets listed in Step 4, which require liquidation.
- Partial** (complete Step 4)

DRS/DRIP

- Full** (check one below)
 - Sell fractions and close account.
 - Transfer all full shares only.
- Partial** (list assets in Step 4)

FOR TRANSFER AGENTS, ELECTRONICALLY SEND POSITIONS OR ISSUE A CERTIFICATE FOR WHOLE SHARES AND REDEEM FRACTIONAL SHARES.

Direct Mutual Fund

- Transfer mutual funds from the account held directly at the fund company (see list in Step 4 for exact instructions).

ONLY ONE FUND FAMILY PER FORM.

Bank Retirement Plan Accounts (select only one)

- Liquidate immediately and transfer cash.
I am aware of and acknowledge any penalty I will incur from an early withdrawal.
- Liquidate at maturity and transfer cash.
Specify maturity date _____ (submit two to three weeks before maturity date).

LIQUIDATIONS INVOLVING BANK CDS, CHECKING ACCOUNTS, OR SAVINGS ACCOUNTS CAN ONLY BE PROCESSED FROM RETIREMENT ACCOUNTS.

STEP 4. PARTIAL TRANSFERS, DIRECT MUTUAL FUNDS, AND LIQUIDATIONS

If there are more than eight assets, attach a signed list to this form.

QUANTITY	ASSET DESCRIPTION	CUSIP ¹ /SYMBOL	FUND ACCOUNT NUMBER	TRANSFER INSTRUCTIONS ²	DIVIDEND OPTIONS ³	CAPITAL GAIN OPTION ³	ESTIMATED \$ VALUE
				<input type="checkbox"/> Transfer in Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	
				<input type="checkbox"/> Transfer in Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	
				<input type="checkbox"/> Transfer in Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	
				<input type="checkbox"/> Transfer in Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	
				<input type="checkbox"/> Transfer in Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	
				<input type="checkbox"/> Transfer in Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	
				<input type="checkbox"/> Transfer in Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	

¹ CUSIP® belongs to its respective owner.

² If you have requested a liquidation, your market price is not guaranteed. You will receive the current market price after your transfer request is received, reviewed, and determined to be in good order by the delivering firm. Pershing is not responsible for market fluctuations or delays in the review process. DRS items cannot be liquidated.

³ If this is a mutual fund transfer and there is no dividend or capital gain option checked in the section above, Pershing will process this request as reinvest.

For Office Use Only: All transfers must be added to Pershing's transfer system.

STEP 5. RETIREMENT PLAN RESTRICTIONS AND CERTIFICATIONS

Age 70½ restrictions: If you are at least the age of 70½ this year and you are rolling over assets from a qualified plan or 403(b) account, you must take your required minimum distribution (RMD) from your qualified plan or 403(b) account before rolling over your assets.

Rollover Certification of Employee: I understand the rules and conditions and I have met the requirements for making a rollover. Due to the important tax consequences of rolling over funds or property, I have been advised to see a tax professional. All information provided by me is true and correct and may be relied on by Pershing LLC. I assume full responsibility for this rollover transaction and will not hold Pershing LLC liable for any adverse consequences that may result. I hereby irrevocably designate this contribution in funds or other property as a rollover contribution.

To the Prior Trustee

- Pershing LLC accepts appointment as successor custodian.
- Please be advised that the following does hereby accept appointment as successor custodian.

Successor Custodian's Firm Name	Date
Successor Custodian's Signature <div style="font-size: 2em; font-weight: bold; margin-top: 10px;">X</div>	

STEP 6. ONE IN THE SAME PERSON CERTIFICATION

Please only complete this section if the account owner of both accounts is the same person but the name on the delivering account and the name of the receiving account are not an exact match. Examples of discrepancies include name differences due to abbreviations and suffixes (Sr., Jr., etc.).

By signing below, I certify that

Print Name on Account	and	Print Alternate Name
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are legally one and the same person.

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STEP 7. PARTICIPANT SIGNATURE AND CERTIFICATION

To the Delivering Firm Named Above: If this account is a qualified retirement account, I have amended the applicable plan so that it names as successor custodian the trustee listed above. Unless otherwise indicated in the instruction above, please transfer all assets in my account to Pershing without penalties, such assets may be transferred within the time frames required by Financial Industry Regulatory Authority (FINRA) Rule 11870, or similar rule of FINRA or other designated examining authority. Unless otherwise indicated in the instructions above, I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the successor custodian. I authorize you to deduct any outstanding fees due to you from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance in the account is insufficient to satisfy any outstanding fees due to you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy that obligation. If certificates or other instruments in my account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor custodian to transfer them in its name for the purpose of the sale, when, and as directed to me. I understand that upon receiving a copy of this transfer information, you will cancel all open orders for my account on your books. I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me in connection with my brokerage account. I understand that you will contact me with respect to the disposition of any assets in my brokerage account that are nontransferable.

Primary Account Holder

Print Name	Date
Signature	
X	

PLEASE ATTACH YOUR MOST RECENT BROKERAGE ACCOUNT STATEMENT TO PROCESS THIS ACCOUNT TRANSFER.

Secondary Account Holder (if applicable)

Print Name	Date
Signature	
X	

Investment Professional Information

Investment Professional Name	Investment Professional Telephone Number
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SIGNATURE GUARANTEED BY (FOR INTERNAL USE ONLY)

Mail completed forms to: Trading Direct, 160 Broadway, East Bldg Floor 7, New York NY 10038