

# BROKERAGE ACCOUNT TRANSFER FORM INSTRUCTIONS

Complete all sections according to the instructions below. Please print or type all information. Return the completed form to your broker-dealer.

**NOTE:** 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.

## I. 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.

## II. ACCOUNT INFORMATION

Indicate whether the transfer is a full or partial. Indicate the type of transfer you are requesting by checking the appropriate box.

- An Automated Customer Account Transfer (ACAT) is a transfer of all assets, in kind, from another National Securities Clearing Corporation (NSCC) member firm (generally, when using ACAT, money market funds will be liquidated; proprietary funds should be liquidated prior to submitting this form).
- A non-ACAT is a transfer of partial assets from a financial organization, or a transfer of assets from a non-NSCC member firm (for instance, a bank, credit union, mutual fund company, etc.), or a transfer of assets being liquidated for a qualified plan held directly at the fund company.
- An internal transfer is a transfer of assets between two introducing broker-dealers who clear through Pershing.
- A direct mutual fund transfer is a transfer in kind of a direct mutual fund position from the mutual fund company.
- A DRS/DRIP transfer is a position held directly at the transfer agent.

Provide the two character account type code that most accurately describes your account.

## III. DELIVERING FIRM INFORMATION

Provide the original account number of the account you are delivering to Pershing.

Enter the delivering firm name, contact name, and telephone number for nonautomated account transfers (non-ACAT).

Provide the account title as it appears on your brokerage account statement for the account you are transferring.

For non-ACATS only, provide the name and street address of the delivering brokerage firm.

## IV. RETAIL TRANSFER DISPOSITION INSTRUCTIONS

Pershing will only transfer positions in kind for retail accounts.

## V. NON-ACAT AND DIRECT MUTUAL FUND TRANSFERS

If you selected non-ACAT, 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.

- Liquidations are for individual retirement accounts (IRAs) or qualified plans only.
- 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 cash, for dividend and capital gain options.

## VI. RETIREMENT PLAN AND SAVINGS ACCOUNT DISPOSITION INSTRUCTIONS

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.

For certificates of deposit (CDs) held until maturity, contact your financial organization to stop CD rollover instructions.

## VII. PARTICIPANT SIGNATURE AND CERTIFICATION

Sign and date the form.

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

**NOTE:** 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.

- 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.

# BROKERAGE ACCOUNT TRANSFER FORM

RECEIVING FIRM CLEARING NUMBER: **0443** DELIVERING FIRM CLEARING NUMBER: \_\_\_\_\_

## I. RECEIVING FIRM INFORMATION (Only one per form)

ACCOUNT NUMBER:     —

SOCIAL SECURITY NUMBER:       —   —

SECONDARY SOCIAL SECURITY NUMBER:       —   —

or TAXPAYER IDENTIFICATION NUMBER:   —

or TAXPAYER IDENTIFICATION NUMBER:   —

## II. ACCOUNT INFORMATION

TRANSFER: (Check one)  FULL  PARTIAL

TRANSFER TYPE:  ACAT  NON-ACAT  INTERNAL TRANSFER  DIRECT MUTUAL FUND TRANSFER  DRS/DRIP

**NOTE:** Check Non-ACAT for partial transfers.

ACCOUNT TYPE: (Enter the two character code)

**SN**—(Single) **ES**—(Estate) **CO**—(Corporate) **DR**—(Direct Rollover) **SI**—(Simple IRA) **BC**—(Bank Custody) **JT**—(Joint) **CU**—(Custodian) **IR**—(Traditional IRA)  
**RI**—(Roth IRA) **AG**—(Agency) **4K**—(401k) **CT**—(Cotrustee) **QP**—(Qualified Plan) **TR**—(Trust) **EI**—(Education Savings Account) **OT**—(Other)

## III. DELIVERING FIRM INFORMATION

	<b>MANDATORY FOR NON-ACATS ONLY</b>
ACCOUNT NUMBER:	CONTACT NAME:
FIRM NAME:	FIRM ADDRESS: (NO P.O. BOX)
ACCOUNT TITLE: (As it appears on your statement)	CITY: STATE: ZIP:
	TELEPHONE NUMBER:

**NOTE:** INCLUDE A COMPLETE COPY OF YOUR MOST RECENT BROKERAGE ACCOUNT STATEMENT.

## IV. RETAIL TRANSFER DISPOSITION INSTRUCTIONS

- TRANSFER ALL ASSETS IN KIND. Money market funds MUST be liquidated and transferred as cash, other assets must be transferred in kind.
- ISSUE A CERTIFICATE FOR WHOLE SHARES AND REDEEM FRACTIONAL SHARES (DRS/DRIP only).

## V. NON-ACATS OR DIRECT MUTUAL FUND TRANSFERS

- PARTIAL TRANSFER: Transfer only the assets and quantities indicated below.
- DIRECT MUTUAL FUND TRANSFER: Transfer mutual funds from the account held directly at the fund company.

- NOTES:**
- Complete a separate form for each mutual fund company.
  - If there are more than four assets, attach a signed list to this form.
  - All mutual fund transfers must be added to the Mutual Fund Transfer System.

QUANTITY	ASSET DESCRIPTION	CUSIP®/SYMBOL	FUND ACCOUNT NUMBER	TRANSFER INSTRUCTIONS <sup>1</sup>	DIVIDEND OPTION <sup>2</sup>	CAPITAL GAIN OPTION <sup>2</sup>
				<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

<sup>1</sup>Liquidations are for qualified plans only. Retail accounts must be transferred in kind.  
<sup>2</sup>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 cash (eligible).



RPD-150 ACAT

# BROKERAGE ACCOUNT TRANSFER FORM

## VI. RETIREMENT PLAN AND SAVINGS ACCOUNT DISPOSITION INSTRUCTIONS

If you are the age of 70½ or older, you may not rollover your required minimum distribution from a qualified plan or individual retirement account (IRA).

CHECK ONLY ONE OF THE FOLLOWING:

- LIQUIDATE ALL ASSETS AND TRANSFER AS CASH. (**NOTE:** Not valid for NSCC/ACAT-eligible firms.)
- TRANSFER ALL ASSETS IN KIND. (**NOTE:** Money markets **MUST** be liquidated and transferred as cash, other assets must be transferred in kind.)
- LIQUIDATE CERTIFICATES OF DEPOSIT IMMEDIATELY. (**NOTE:** I am aware of the penalty I may incur from my early withdrawal. All ACAT items must be liquidated prior to transfer.)
- AT MATURITY, FORWARD PROCEEDS OF MY CERTIFICATES OF DEPOSIT FROM MY RETIREMENT PLAN. Maturity Date: \_\_\_\_\_

**Rollover Certification of Employee:** I understand the rules and conditions and I have met the requirements for making a rollover. Due to important tax consequences of rolling over funds or property, I have been advised to see a tax professional. All information provided to 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.

**NOTE:** To transfer as cash, please liquidate prior to submitting the brokerage account transfer form.

## VII. 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 below. 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 NYSE Rule 412 or similar rule of the National Association of Securities Dealers (NASD) 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.

SIGNATURE GUARANTEED BY:
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ACCOUNT OWNER'S SIGNATURE: \_\_\_\_\_ DATE: (Must be completed)

JOINT ACCOUNT OWNER'S SIGNATURE: \_\_\_\_\_ DATE: (Must be completed)

TO THE PRIOR TRUSTEE:

Pershing LLC accepts appointment as successor custodian. We have established an account as described in Internal Revenue Code Sections 402 (c)(8)(B).

Please be advised that \_\_\_\_\_ (Insert firm name) does hereby accept appointment as successor custodian.

FOR OFFICE USE ONLY			
SUCCESSOR CUSTODIAN SIGNATURE:	DATE:	NAME OF INVESTMENT PROFESSIONAL:	
BRANCH:		TELEPHONE NUMBER:	

# BROKERAGE ACCOUNT TRANSFER FORM CONTACT AND DELIVERY INSTRUCTIONS

## For Professional Use Only

### CONTACT AND DELIVERY INSTRUCTIONS:

#### CONTACT:

ACAT Department: (201) 413-4687  
Non-ACAT Department: (201) 413-4571/4591  
Mutual Fund Department: (888) 367-2563 (Option 4)

#### SEND TO:

Pershing LLC  
One Pershing Plaza  
Jersey City, New Jersey 07399

TAX IDENTIFICATION NUMBER: 13-2741729

### SPECIAL INSTRUCTIONS LISTED BELOW:

#### CHECKS:<sup>3</sup>

- Send qualified plan account checks to the attention of the Retirement Products Department.
- Send non qualified plan account checks to the attention of the Money Desk.

#### CERTIFICATES:<sup>3</sup>

- Send certificates to the attention of Department S.

#### LIMITED PARTNERSHIPS DOCUMENTS:<sup>3</sup>

- Send limited partnership documents to the Non-ACAT Department.

#### DEPOSITORY TRUST AND CLEARING CORPORATION (DTCC) AND ELIGIBLE SECURITIES AND OPTIONS:<sup>3</sup>

- Instruct DTCC eligible securities and the Options Clearing Corporation eligible options to clearing broker number 0443.

#### FEDERAL ENTRY SECURITIES:<sup>3</sup>

- Instruct federal entry securities, for instance, Treasury notes, to BK OF NYC/PERSHING, ABA number 021000018.

#### FEDERAL FUND WIRES (Cash):<sup>3</sup>

- Instruct federal fund wires to CHASE NYC/PERSHING, ABA number 021000021, account number 930-1-032992.

#### FOREIGN SECURITIES:<sup>3</sup>

- Send all foreign securities to the Non-ACAT Department to setup instructions to receive the securities using Euroclear number 92146.

#### REJECT LETTERS:

- Send all reject letters to the Non-ACAT Department.

<sup>3</sup>Include the Pershing account number on all documentation.

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