

# 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 180 days of its receipt.

# Account Transfer Form

## STEP 1. RECEIVING FIRM INFORMATION

Receiving Firm Clearing Number <b>0443</b>	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)
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### Account Type Codes

NONRETIREMENT		RETIREMENT			
<b>SN</b> Single	<b>CU</b> Custodian	<b>IR</b> Traditional IRA	<b>4K</b> 401k	<b>4B</b> 403b	
<b>JT</b> Joint	<b>ES</b> Estate	<b>RI</b> Roth IRA	<b>SI</b> Simple IRA	<b>7b</b> 457 Plan	
<b>TR</b> Trust	<b>BC</b> Bank Custody	<b>DR</b> Direct Rollover	<b>QP</b> Qualified Plan	<b>5p</b> 529 Plan	
<b>CT</b> Cotrustee	<b>AG</b> Agency	<b>BI</b> Beneficiary	<b>EI</b> Education Savings Account	<b>HS</b> Health Savings Account	
<b>CO</b> Corporate	<b>OT</b> Other	<b>BR</b> 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 to be transferred, list these assets on the Account Transfer: Additional Assets form.

QUANTITY	ASSET DESCRIPTION	CUSIP <sup>1</sup> /SYMBOL	FUND ACCOUNT NUMBER	TRANSFER INSTRUCTIONS <sup>2</sup>	DIVIDEND OPTIONS <sup>3</sup>	CAPITAL GAIN OPTION <sup>3</sup>	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	

<sup>1</sup> CUSIP® belongs to its respective owner.

<sup>2</sup> 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.

<sup>3</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 reinvest.

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





# Account Transfer Form

Account Number

## FOR PROFESSIONAL USE ONLY

### Contact

Account Transfers (888) 367-2563

### Send to

Pershing LLC  
One Pershing Plaza  
Jersey City  
New Jersey 07399

### Tax Identification Number

13-2741729

### Checks\*

Rollovers	All Other Transfers
<b>Overnight Mail</b> Pershing LLC Rollover Processing Attn: 382084 500 Ross Street 154-0455 Pittsburgh, PA 15262-0001	<b>Overnight Mail</b> Pershing LLC Transfer Processing Attn: 382091 500 Ross Street 154-0455 Pittsburgh, PA 15262-0001
<b>Regular Mail</b> Pershing LLC Rollover Processing PO Box 382084 Pittsburgh, PA 15250-8084	<b>Regular Mail</b> Pershing LLC Transfer Processing PO Box 382091 Pittsburgh, PA 15250-8091

### Certificates\*

Send certificates to the attention of Department S, Pershing LLC, One Pershing Plaza, Jersey City, New Jersey 07399

### Limited Partnerships Documents\*

Send limited partnership documents to the Non-ACAT Department, Pershing LLC, One Pershing Plaza, Jersey City, New Jersey 07399

### Cost Basis\*

Please deliver through the DTCC Cost Basis Reporting Service (CBRS), firm account 00000443 CBRS account 0000A00C. For Non CBRS firms please mail to Pershing LLC, One Pershing Plaza, Jersey City NJ 07399. Attention Cost Basis department or fax to (866) 355-5620.

### Depository Trust and Clearing Corporation (DTCC) and Eligible Securities and Options\*

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

### Federal Entry Securities\*

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

### Federal Fund Wires (cash)\*

To transfer federal funds to Pershing, your clients must provide the following wire instructions to the financial organization that will be transmitting the funds on their behalf:

Bank: The Bank of New York

ABA Number: 021000018

Beneficiary: Pershing LLC

Beneficiary Account Number: 890-051238-5

Ultimate Beneficiary: Client's Brokerage Account Name

Ultimate Beneficiary Account Number: Client's Brokerage Account Number (for instance, 123-456789-1)

If any of the above information is missing, there may be a delay in crediting the account or the funds may be returned to the sender. With regard to incoming federal fund wires for retirement accounts for which Pershing LLC is the custodian or servicing agent, please notify Pershing via Service Center in NetExchange Pro® (Retirement Processing category, Contributions request), on any contribution-related deposits to ensure that the funds are coded properly for tax reporting.

### Foreign Securities\*

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.

*\*Include Pershing account number on all documentation.*