

Transfer of Assets

Use this form to authorize the transfer of assets, currently at another firm, to your brokerage account held at National Financial Services LLC ("NFS"). Refer to the instructions page at the end of this form for more information.

IMPORTANT: Attach all pages of a recent account statement.

1. Receiving Account Information

Account Number	
Account Owner/Trust/Entity Name	
Social Security Number/Taxpayer ID Number	
Additional Account Owner/Trust/Entity Name	
Social Security Number/Taxpayer ID Number	☐ 529 Plan Check if the account is a 529 and indicate the 529 Account Type below.

Receiving Account Type Check one.

Nonretirement Accounts

- ☐ Individual
☐ Joint
☐ Trust
☐ Corp/Business
☐ UGMA ☐ UTMA
☐ Estate
☐ Health Savings Account

Retirement Accounts

- ☐ Traditional, SEP, or Rollover IRA
☐ Roth IRA
☐ Individual 401(k)
☐ Roth Individual 401(k)
☐ SIMPLE IRA
☐ Beneficiary IRA
☐ Roth Beneficiary IRA
☐ Profit Sharing/Money Purchase Plan

☐ Other _____

2. Account Being Transferred

Delivering Account Number	DTC Number	
Account Owner/Trust/Entity Name(s)		
Delivering Firm Name		
Address	City	
State	Zip Code	Delivering Firm Phone

Delivering Account Type Check one.

Nonretirement Accounts

- ☐ Individual
☐ Joint
☐ Trust
☐ Corp/Business
☐ UGMA ☐ UTMA
☐ Estate
☐ Health Savings Account

Retirement Accounts

- ☐ Traditional, SEP, or Rollover IRA
☐ Roth IRA
☐ Individual 401(k)
☐ Roth Individual 401(k)
☐ SIMPLE IRA
☐ Beneficiary IRA
☐ Roth Beneficiary IRA
☐ Profit Sharing/Money Purchase Plan

☐ Other _____

3. Transfer Instructions Complete A, B, C, D, or E.

If you do not instruct us otherwise, we will default to transfer in kind all eligible positions in the account. Money market mutual funds may be liquidated. **National Financial Services LLC is NOT responsible for market fluctuation on requests with written liquidation instructions.** Complete a separate Additional Assets Schedule if you need to list more securities.

A. Brokerage or Trust Company Transfer

Brokerage account transfers are in kind; liquidate assets at current firm prior to submitting this form if you wish to have assets transferred in cash. For Annuities, complete Section 3.D.

- ☐ Alternative investment, the **required** full statement and applicable sponsor paperwork included (refer to sponsor for requirements).
☐ 1. Transfer the entire account, In Kind. Skip to Section 4.
☐ 2. Transfer only part of my account In Kind, as detailed below:

Security Name or Symbol	# of Shares or "All"
Security Name or Symbol	# of Shares or "All"
Security Name or Symbol	# of Shares or "All"

B. Mutual Fund Company Transfer

Fund Name/Symbol and Account Number	# of Shares or "All"
☐ In Kind* ☐ Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"
☐ In Kind* ☐ Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"
☐ In Kind* ☐ Liquidate	

* For 529 Plans, In Kind is the only option.

continued on next page

3. Transfer Instructions *Complete A, B, C, D, or E. continued*

C. Bank or Credit Union Transfer *Do NOT use this form to transfer a nonretirement bank checking account.*

- ☐ 1. Transfer cash only. All cash will be transferred unless you indicate a different amount to transfer here:

Cash Transfer Amount
\$

- ☐ 2. Liquidate CD immediately and send cash.
You may be charged a penalty for early withdrawal.
- ☐ 3. Liquidate CD at maturity and send cash.

CD Maturity Date MM DD YYYY

The request must be submitted at least 21 days before maturity, and no more than 60 days before maturity.

D. Annuity Transfer

All annuities must be surrendered (cashed in), which could mean tax implications, penalties, fees, and loss of product features.

- ☐ 1. Full Annuity Surrender *Transfer the entire amount in cash immediately.*
- ☐ 2. Penalty-Free Surrender *Transfer ONLY the penalty-free portion. If the penalty-free portion is the full balance, transfer the full balance.*
- ☐ 3. Partial Annuity Surrender *Transfer the following cash amount:*

Cash Amount
\$

E. Transfer Agent Transfer

Security Symbol or Name

- ☐ 1. Transfer all whole shares and sell fractions.
- ☐ 2. Transfer all whole shares only.
- ☐ 3. Transfer all whole shares, sell fractions, and close account.
- ☐ 4. Partial transfer of the following number of eligible whole shares:

Number of Shares

4. Signatures and Dates *All owners of both accounts must sign this form.*

By signing below, you:

- Direct NFS and the Delivering Firm ("Delivering Firm") to act on all instructions given on this form, including transferring assets to NFS.
- Affirm that you are aware of any tax or financial implications that may arise in connection with this transfer or with the sale or liquidation of any assets prior to transfer, including penalties, fees, financial losses, or losses of product features or benefits.
- Accept that any assets not readily transferable might not be transferred within the time frames set by FINRA or other applicable authorities.
- Authorize the Delivering Firm to sell any non-transferable money fund shares, and any shares of other mutual funds that you have requested be sold, and transfer the proceeds as cash.
- Authorize the Delivering Firm to contact you about any assets that cannot be transferred.

- Authorize the Delivering Firm to deduct from your account any fees that you owe, and, if necessary, to sell assets in your account to pay those fees.
- Authorize the Delivering Firm to cancel any open orders on your account when it receives this form.
- Affirm that you have destroyed or returned any credit/debit cards and unused checks associated with your account at the Delivering Firm, if closing that account.
- Indemnify and hold harmless your Broker-Dealer, NFS, their officers, directors, employees, agents, affiliates, shareholders, successors, assigns, and representatives from any claims or losses that may occur in the event that you fail to meet any requirements concerning your brokerage account.
- Instruct the Delivering Firm to transfer any physical certificates in good deliverable form, including any necessary tax waivers.

Retirement Accounts

- Affirm, if you are subject to a required minimum distribution (RMD), this transfer will not violate IRS rules on required minimum distributions.
- Understand that if you are transferring to a Beneficiary Distribution Account ("BDA"), you accept full responsibility for complying with all inherited IRA transfer requirements.
- Understand that if you are transferring a SIMPLE IRA, you accept that the Date of First Participation will be the date that contributions are first deposited to your Premiere Select SIMPLE IRA by your employer, unless you provide a Date of First Participation.
- If you are transferring a Roth Individual 401(k) account, Fidelity will record the transfer amount as earnings unless you provide written instructions specifying the principal amount.

Required Signature(s) on Next Page.

4. Signatures and Dates *All owners of both accounts must sign this form. continued*

IF YOU ARE TRANSFERRING AN ACCOUNT WITH DIFFERENT OWNERSHIP OR REGISTRATION THAN YOUR NFS ACCOUNT, ALL OWNERS OF BOTH ACCOUNTS MUST SIGN BELOW.

Print Account Owner Name <i>Full First, Middle, Last Name</i>	
Account Owner Signature	Date <i>MM - DD - YYYY</i>
SIGN X	

▼ MEDALLION SIGNATURE GUARANTEE ▼

Print Account Owner Name <i>Full First, Middle, Last Name</i>	
Account Owner Signature	Date <i>MM - DD - YYYY</i>
SIGN X	

▼ MEDALLION SIGNATURE GUARANTEE ▼

Print Account Owner Name <i>Full First, Middle, Last Name</i>	
Account Owner Signature	Date <i>MM - DD - YYYY</i>
SIGN X	

▼ MEDALLION SIGNATURE GUARANTEE ▼

For Custodian/Trustee Use Only: Letter of Acceptance		
Fidelity Management Trust Company (FMTC)	OR ☐	Specify
Fidelity Personal Trust Company (FPTC)		
accepts appointment as successor custodian/trustee for the retirement or health savings account referenced herein. Transfer the account as instructed on this form, on a trustee-to-trustee basis, to the appropriate successor custodian/trustee, c/o National Financial Services LLC (NFS). NFS is an agent for FMTC and FPTC.		
Successor/Custodian/Trustee's Representative	Signature	Date <i>MM - DD - YYYY</i>

Provide all pages of the signed Transfer of Assets form and all pages of your most recent statement to your Broker-Dealer.

Transfer of Assets Instructions

Use this form to authorize the transfer of assets, currently at another firm, to your brokerage account held at National Financial Services LLC ("NFS").

Helpful to Know

- **Do NOT use this form to:**
 - convert an IRA to a Roth IRA.
 - roll over from a 401(k), 403(b) or other workplace plan.
 - transfer from a nonretirement checking account.
 - transfer from one account to another account at your Broker-Dealer.
- If you are transferring a 529 Plan account, the registration type must be exactly the same on the delivering account and the receiving account.
- Use one form for each account you're transferring.
- If you are transferring a Roth Individual 401(k) to your Roth Individual 401(k) account at NFS and need to provide 5-year aging to ensure proper tax reporting for your distributions, contact your Broker-Dealer.
- Transfers can create legal issues (especially around beneficiaries and form of ownership) as well as tax issues and financial risks. Consult the appropriate professionals before making a transfer.
- If you are requesting to transfer a traditional IRA or rollover IRA that may differ from the receiving IRA you maintain at NFS, you hereby authorize NFS to combine your IRA assets and you acknowledge this could limit your options for reinvesting your rollover IRA assets in an employer-sponsored plan in the future.
- **Avoid delays! Attach all pages of a recent account statement!**

1. Receiving Account Information

List ALL names EXACTLY as they appear on this account. Check the appropriate box for the type of brokerage account held at National Financial Services. All account owners of this account must sign the form in Section 4.

2. Account Being Transferred

List ALL names EXACTLY as they appear on this account. Check the appropriate box for the type of brokerage account held at National Financial Services. All account owners of this account must sign the form in Section 4.

3. Transfer Instructions

A. Brokerage or Trust Company Transfer

If you are transferring an entire account that has margin and options trading privileges, you must also apply for options or margin to transfer positions that require options or margin.

For 401(k)s, all information, including plan name, tax ID, plan number, plan administrator, plan participant, and plan type [Individual 401(k) or Roth Individual 401(k)], must match identically. You may only transfer the same plan type.

B. Mutual Fund Company Transfer

Provide all fund account numbers if they are different than the account number provided in Section 2.

For 401(k)s, all information, including plan name, tax ID, plan number, plan administrator, plan participant, and plan type [Individual 401(k) or Roth Individual 401(k)], must match identically. You may only transfer the same plan type.

Certain proprietary mutual funds may not be eligible for in-kind transfers and must be liquidated.

For 529 Plans, In Kind is the only transfer option. Not all Mutual Funds may be eligible for transfer.

C. Bank or Credit Union Transfer

Do NOT use this form to transfer a nonretirement bank checking account. If you are liquidating a CD at maturity, submit your request at least 21 days, but no more than 60 days, before maturity, to ensure that we can process your request.

Do NOT use this section for 529 Plan transfers.

D. Annuity Transfer

Contact the annuity firm or your Broker-Dealer for additional requirements before you submit this form.

E. Transfer Agent Transfer

Complete this section to transfer shares held electronically with the transfer agent. Certificated shares are not eligible for transfer. Contact your Broker-Dealer for deposit instructions.

4. Signatures and Dates

All owners of BOTH accounts must sign and date in the signature section. If an owner's name appears differently on different accounts, that owner must sign both ways.

Registration Differences Requirements

If there is ANY difference in the owner name(s) or account type between Section 1 and Section 2, you must take the following steps:

Nonretirement Accounts: If the difference(s) between your Section 1 and Section 2 information are listed below, attach any documents indicated. If the difference is not listed, contact your Broker-Dealer for instructions BEFORE you submit this form. In either case, all owners must sign this form in Section 4, and read the Account Owner Terms and Conditions.

Retirement & 529 Plan Accounts: Contact your Broker-Dealer for instructions BEFORE you submit this form.

Examples of Registration Differences

Differences between Accounts	Documents to Attach
Last name changed	Marriage/divorce certificate
First/middle name changed or listed differently	Letter explaining difference
One account is joint, the other is individual	None
Different trustee(s) listed	Updated trust document