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

Receiving Firm Clearing Number 0443						Account Number					ONLY ONE RECEIVING FIRM PER FORM.
Prima	ary Account Holo	der SSN	√Tax ID				Secondary A	ccount Hold	ler S	SSN/Tax ID	
	unt Type (two-cl		er code)								
	unt Type Co	des		DETI	REMENT						
	Single	CU	Custodian	IR	Traditional IRA	4K	401k	4	1B	403b	
JT	Joint	ES	Estate	RI	Roth IRA	SI	Simple IRA	7	7b	457 Plan	
TR	Trust	ВС	Bank Custody	DR	Direct Rollover	QP	Qualified Plan	5	ър	529 Plan	
ст	Cotrustee	AG	Agency	ВІ	Beneficiary	EI	Education Sav Account	ngs F	НS	Health Savings Account	
со	Corporate	ОТ	Other	BR	Beneficiary Roth IR.	A					
Clear	ing Number	ERIN	NG ACCOUNT	ΓINF	Account Number						A COMPLETE COPY OF YOUR MOST RECENT BROKERAGE
Firm	Name										ACCOUNT STATEMEN
Acco	unt Title (as it ap	pears	on your statement)								IS NECESSARY TO PROCESS THIS FORM NON-U.S. POSITIONS BEING TRANSFERRED
Deli	vering Firm	Con	tact Informati	on (r	nandatory wher	ı cleari	ng number i	s not pro	vio	ded)	INTO YOUR ACCOUN' WILL BE HELD IN U.S.
Contact Name Te						elephone Number					DOLLARS UNLESS YOUR FINANCIAL FIR
Firm	Address (no P.O.	box)									INSTRUCTS PERSHING TO HOLD THE NON- U.S. POSITIONS IN
City State							Zip/Posta	al Code			THEIR ORIGINAL

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CURRENCY.

	Account Number	
CTED 2 TRANSFER TYPE		
STEP 3. TRANSFER TYPE		
Choose only one.		
<u> </u>	to Step 7). o 4 (liquidations are not for brokerage accounts). t for the assets listed in Step 4, which require liquidation.	
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 accou	unt held directly at the fund company (see list in Step 4 for exact instructions).	ONLY ONE FUND FAMILY PER FORM.
Bank Retirement Plan Accounts (se		LIQUIDATIONS INVOLVING BANK CDS, CHECKING ACCOUNTS, OR SAVINGS ACCOUNTS CAN ONLY BE PROCESSED

QUANTITY	ASSET DESCRIPTION	CUSIP¹/SYMBOL	FUND ACCOUNT NUMBER	TRANSFER INSTRUCTIONS ²	DIVIDEND OPTIONS ³	CAPITAL GAIN OPTION ³	ESTIMATED \$ VALUE
				Transfer in Kind Liquidate	Cash Reinvest	Cash Reinvest	
				Transfer in Kind Liquidate	Cash Reinvest	Cash Reinvest	
				Transfer in Kind Liquidate	Cash Reinvest	Cash Reinvest	
				Transfer in Kind Liquidate	Cash Reinvest	Cash Reinvest	
				Transfer in Kind Liquidate	Cash Reinvest	Cash Reinvest	
				Transfer in Kind Liquidate	Cash Reinvest	Cash Reinvest	
				Transfer in Kind Liquidate	Cash Reinvest	Cash Reinvest	
				Transfer in Kind Liquidate	Cash Reinvest	Cash Reinvest	

 $^{^{\}mbox{\tiny 1}}$ CUSIP® belongs to its respective owner.

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

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.

	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									
	Successor Custodian's Signature									
	x									
	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 Print Alternate Name										
	are legally one and the same person.		1	1						

This space intentionally left blank.

Account Transfer Form

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			DI FACE ATTACH					
Print Name	Date PLEASE ATTA YOUR MOST							
Signature RECENT BROKER ACCOUNT								
X STATEMENT TO PROCESS THIS ACCOUNT TRANSFER								
Secondary Account Holder (if applicable)			ACCOUNT TRANSPER.					
Print Name								
Signature								
X								
Investment Professional Information								
Investment Professional Name	Investment	Professional Telephone Number						
SIGNATURE GUARANTEED BY (FOR INTERNAL USE ONLY)								

Account Number

Account Transfer Form

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			
Overnight Mail	Overnight Mail			
Pershing LLC	Pershing LLC			
Rollover Processing	Transfer Processing			
Attn: 382084	Attn: 382091			
500 Ross Street 154-0455	500 Ross Street 154-0455			
Pittsburgh, PA 15262-0001	Pittsburgh, PA 15262-0001			
Regular Mail	Regular Mail			
Pershing LLC	Pershing LLC			
Rollover Processing	Transfer Processing			
PO Box 382084	PO Box 382091			
Pittsburgh, PA 15250-8084	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.