# 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.
- Use one form for each account you're transferring.
- 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.
- **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. If you are transferring a Qualified Plan, the options under the Premiere Select Retirement Plan include Profit Sharing and Money Purchase plans. 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.

**B. Mutual Fund Company Transfer**
Provide all fund account numbers if they are different than the account number provided in Section 2.

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

**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.

**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 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 |

Clear Form

Transaction ID

Clearing through National Financial Services LLC ("NFS"): Clearing # 0226

# 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.

## 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

**Receiving Account Type** *Check one.*

**Nonretirement Accounts**

- ☐ Individual
- ☐ Joint
- ☐ Trust
- ☐ Corp/Business
- ☐ UGMA / UTMA
- ☐ Estate
- ☐ Other_____

**Retirement Accounts**

- ☐ Traditional, SEP, or Rollover IRA
- ☐ Roth IRA
- ☐ SIMPLE IRA
- ☐ Beneficiary IRA
- ☐ Roth Beneficiary IRA
- ☐ Qualified Plan*

## 2. Account Being Transferred

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
- ☐ Other_____

**Retirement Accounts**

- ☐ Traditional, SEP, or Rollover IRA
- ☐ Roth IRA
- ☐ SIMPLE IRA
- ☐ Beneficiary IRA
- ☐ Roth Beneficiary IRA
- ☐ Qualified Plan*

* Qualified Plan options offered under the Premiere Select Retirement Plan include Profit Sharing and Money Purchase plans.

## 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.

☐ All or some of the assets are Alternative Investments and a completed Alternative Investment Addendum and Custody Agreement is on file.
**Note:** Some alternative investments may be restricted to certain account registrations.

### 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.

☐ 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

### 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.*

# 3. Transfer Instructions *continued*

## 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 instruct NFS and the Delivering Firm to act on all instructions given on this form and you acknowledge and agree that:

- The delivering firm ("Delivering Firm") will transfer the assets in your account in accordance with your transfer instructions above, to National Financial Services LLC ("NFS") and, if to a Premiere Select IRA or Premiere Select Retirement Plan account, to Fidelity Management Trust Company ("FMTC") as successor Custodian/Trustee.
- 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.
- Any assets not readily transferable might not be transferred within the time frames set by FINRA or other applicable authorities.
- You 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.
- You Authorize the Delivering Firm to contact you about any assets that cannot be transferred.
- You 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.
- You instruct the Delivering Firm to transfer any physical certificates in good deliverable form, including any necessary tax waivers.
- You authorize the Delivering Firm to cancel any open orders on your account when it receives this form.
- You have destroyed or returned any credit/debit cards and unused checks associated with your account at the Delivering Firm, if closing that account.

*Retirement Accounts*

- If you are 70½ or older, this transfer will not violate IRS rules on required minimum distributions.
- If you are transferring a Roth IRA, it is your responsibility to track the Five-Year Aging Date.
- 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.
- If you are transferring to a Beneficiary Distribution Account ("BDA"), you accept full responsibility for complying with all inherited IRA transfer requirements.
- 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 an account with different ownership or registration than your NFS Account, all owners of both accounts must sign below.**

Print Account Owner Name *First, M.I., Last*

MEDALLION SIGNATURE GUARANTEE

Account Owner Signature | Date *MM - DD - YYYY*

SIGN

Print Account Owner Name *First, M.I., Last*

MEDALLION SIGNATURE GUARANTEE

Account Owner Signature | Date *MM - DD - YYYY*

SIGN

Print Account Owner Name *First, M.I., Last*

MEDALLION SIGNATURE GUARANTEE

Account Owner Signature | Date *MM - DD - YYYY*

SIGN

**For Custodian/Trustee Use Only: Letter of Acceptance**

☐ Fidelity Management Trust Company (FMTC) **or** ☐ Specify

accepts appointment as successor custodian/trustee for the retirement 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.

| Successor/Custodian/Trustee's Representative | Signature | Date *MM - DD - YYYY* |
|---|---|---|
| | | |

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



Clear Form