

# Transfer of Assets Instructions

Complete this form to authorize the transfer of assets, currently at another firm, to your brokerage account. If you are transferring more than one account, complete one form per account. You may submit a photocopy of the transfer; however, we need an original signature on each form. If the account is a retirement account, the registration of the account being transferred should match the registration of your retirement account held at National Financial Services LLC ("NFS"). Certain registration differences can be addressed, as defined in the Receiving Account Information and Account Being Transferred instructions below.

**Important Instructions – Read carefully before filling out the Transfer of Assets Form (TOA Form).**

Include a complete copy of the most recent account statement from your current firm with this form.

- All account owners/trustees/general partners must sign the TOA Form.
- If the account registrations do not match exactly, additional documentation may be required. Note that certain transfers for unlike registrations may not be permitted. Consult your investment professional prior to submitting your request.
- Additional documentation (such as a Durable POA Form or Trustee Certification of Investment Powers Form) may be required when an attorney-in-fact signs, or when there has been a change to individuals authorized to sign on behalf of the account.

## Receiving Account Information and Account Being Transferred

The registration type and/or ownership of the account you are transferring should match the registration type and ownership of the account you maintain or are opening at NFS. Certain mismatches of registration type or ownership between accounts may be addressed by completing the Registration Differences section at the end of the TOA Form, including:

- Individual to Joint or Individual to Trust (Owner A to Owner A and B or to Trust)
- Joint to Individual or Joint to Trust (Owner A and B to Owner A or to Trustee A or Trustee A and B)
- UGMA/UTMA to Individual or to Joint (Minor attained age of majority; if to a joint account minor must be one of the joint owners). Custodian must sign the transfer form.
- Between Traditional IRAs, Rollover IRAs, and SEP IRAs for the same owner.
- From a SIMPLE IRA to a Traditional or Rollover IRA. A 25% IRS penalty will apply for owners under 59½ years of age transferring from a SIMPLE IRA to an account that is not a SIMPLE IRA during the 2-year period beginning on the date when the first contribution was deposited.

Not all registration differences may be addressed on this form, including:

- One type of trust to a different type of trust account or where a common trustee does not exist.
- Individual to a different individual – transfers where there is not a common owner.
- Converting an IRA to a Roth IRA, or deconverting an existing Roth IRA.

Check first with your investment professional if you have any questions regarding registration differences.

## Transfer Instructions

Brokerage account assets are transferred in kind. Mutual fund account assets may either be transferred in kind or liquidated and transferred as cash. Cash assets are deposited to your core account. If you are transferring mutual funds directly from the fund company, provide all fund/account numbers.

Some types of transfers require special arrangements or are subject to fees.

- If you hold proprietary mutual fund positions at your current firm check with your broker/dealer to determine if these can be transferred. Certain proprietary funds may not be eligible for in-kind transfers.
- Proceeds from a bank CD may require up to four weeks to transfer. Unless otherwise indicated, proceeds from your CD will be transferred at maturity. Be advised that if your CD has a maturity date beyond 60 days we cannot accept your form.

### Additional Information about Retirement Account Transfers

- By completing this form and sending it to your investment professional, you are authorizing NFS to request the transfer of your retirement assets currently at another firm to your Premiere Select IRA (including the Premiere Select Traditional IRA, Roth IRA, Rollover IRA, SEP IRA, IRA-BDA and Roth IRA-BDA) or the Premiere Select Retirement Plan, as applicable. The transfer is not a taxable event and will not be reported to the IRS. Certain securities cannot be held in Premiere Select IRAs or the Premiere Select Retirement Plan. Refer to the appropriate IRA Custodial Agreement or Premiere Select Retirement Plan document for more information.
- If you are transferring the assets from your qualified retirement plan(s) to the Premiere Select Retirement Plan, contact your tax advisor to determine if it is necessary to file Form 5310-A prior to the transfer.
- **Direct Rollovers.** This form may not be used to roll over directly an employer sponsored retirement plan, such as a 401(k) or 403(b). See your employer's human resources or pension administration office.

### Additional Information

- **Possible Fees.** You may be responsible for liquidation, termination, surrender, and penalty fees when you transfer your assets. Check with the firm holding your assets for information regarding these fees.
- **Margin/Options.** If transferring option positions or positions requiring margin, an approved options or margin application must be on file with NFS.
- **Limited Partnerships.** "Master" limited partnerships can be held in any type of NFS account. Master LPs have symbols, trade on an exchange, and are priced on statements. "Public" limited partnerships, which do not have symbols and do not trade on an exchange, may only be held in NFS non-prototype retirement accounts.
- **Annuities.** If transferring cash from an annuity, always check with your insurance company to determine the paperwork it will require to be completed. Return all paperwork required by your insurance company with this form to your investment professional.

### Owner Authorization and Signature

- All account owners/trustees/general partners on the NFS account must sign in this section.

## Registration Differences

Complete this section only if you are transferring an account with differences in the name(s) or registrations from the account at NFS, as defined in the Receiving Account Information and Account Being Transferred instructions above. Account owners/trustees/general partners on the delivering account must sign in this section.

Transaction ID

Transaction ID input field

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

# Transfer of Assets Form

## Receiving Account Information

Receiving Account Information form fields: Account Number, Account Name(s), Social Security Number or Taxpayer ID Number

## Account Being Transferred

Account Being Transferred form fields: Account Number, Account Name(s), Delivering Firm Name, Delivering Firm Address, City, State/Province, Zip Code, Delivering Firm Phone

### RECEIVING ACCOUNT TYPE Check one

- Individual, Joint, Trust, Corporate / Business, UGMA / UTMA, Estate, Other, Traditional or Rollover IRA, Roth IRA, SEP IRA, SIMPLE IRA, Qualified Plan\*, IRA BDA, Roth IRA BDA

### ACCOUNT TYPE BEING TRANSFERRED Check one

- Individual, Joint, Trust, Corporate / Business, UGMA / UTMA, Estate, Other, Traditional or Rollover IRA, Roth IRA, SEP IRA, SIMPLE IRA, Qualified Plan \*, IRA BDA, Roth IRA BDA

\*Qualified Plan options offered under the Premiere Select Retirement Plan include Profit Sharing, Money Purchase and Self-Employed 401(k) Plans.

Transfer Instructions Complete either section A, B or C (one section only). Continue on a separate sheet if needed. If you do not instruct otherwise, we will default to transfer in kind all eligible positions in the account.

### A. BROKERAGE, TRUST COMPANY OR TRANSFER AGENT 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.

- 1 Transfer all assets (money markets may be liquidated)
2 Transfer only part of my account, as detailed below:

Table with 2 columns: Security Symbol or Name, # of Shares or "All"

### B. MUTUAL FUND COMPANY TRANSFER

Name of Fund and Account Number (if separate)

Symbol, # of Shares or "All", In Kind, Liquidate

Name of Fund and Account Number (if separate), Symbol, # of Shares or "All", In Kind, Liquidate

Name of Fund and Account Number (if separate), Symbol, # of Shares or "All", In Kind, Liquidate

### C. BANK, CREDIT UNION OR ANNUITY TRANSFER

- 1 Transfer cash only. All cash will be transferred unless you indicate a different amount to transfer here: \$
2 Liquidate CD or Annuity immediately and send cash. I understand that I may incur a penalty for early liquidation.
3 Liquidate CD at maturity and send cash. Maturity date is (MM-DD-YYYY). Submit your request at least 21 days before maturity, but no more than 60 days before maturity.
4 Annuity. Liquidate \$ or only the amount of annuity available without a penalty.

1 National Financial Services LLC is not responsible for market fluctuation on requests with written liquidation instructions.

### ALL OWNERS OR TRUSTEES OF THE NFS ACCOUNT MUST SIGN THIS FORM

By signing below, I(we) acknowledge reading and agree to the terms and conditions printed on the last page of this document.

Signature box for Primary Account Holder with 'X' mark

Signature box for Joint Account Holder with 'X' mark

Signature box for Joint Account Holder with 'X' mark

Medallion Signature Guarantee

Medallion Signature Guarantee

Medallion Signature Guarantee

1.747272.105

009990001

# Owner Authorization

## TO DELIVERING FIRM

Please be advised that if I am transferring a qualified retirement plan account, I have amended my qualified retirement plan and have adopted a new qualified retirement plan with  \_\_\_\_\_ or  National Financial Services LLC ("NFS")/Fidelity Management Trust Company ("FMTC") as successor Trustee, and if I am transferring a non-retirement account, NFS is the successor custodian. Pursuant to said amendment, please transfer all assets in my account to such successor custodian/trustee. I understand that to the extent any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by New York Stock Exchange Rule 412 or similar rule of the National Association of Securities Dealers or other designated examining authority. Unless otherwise indicated in the Transfer Instructions section, I authorize you to liquidate any nontransferable proprietary money market mutual fund assets that are part of my account and transfer the resulting credit balance to the successor custodian/trustee. I also understand that I will be notified by the delivering firm and/or the receiving firm with respect to the disposition of any other assets in my account that are not transferable. I authorize you to deduct any outstanding fees due 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 you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy any outstanding fees due you. 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/trustee to transfer them in its name for the purpose of sale, when and as directed by me. Upon receiving a copy of this transfer instruction, the delivering organization will cancel all open orders for my account on its books. I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me, if any, in connection with the account I have designated for transfer.

## TO RECEIVING FIRM

If I am transferring to a Premiere Select Traditional IRA, Roth IRA, Rollover IRA, SEP-IRA, IRA-Beneficiary Distribution Account, SIMPLE IRA, Roth IRA-Beneficiary Distribution Account or to the Premiere Select Retirement Plan, I acknowledge that I have adopted a Premiere Select Traditional IRA, Roth IRA, Rollover IRA, SEP-IRA, IRA-Beneficiary Distribution Account, Roth IRA-Beneficiary Distribution Account, SIMPLE IRA or the Premiere Select Retirement Plan, as applicable, with NFS, agent for FMTC as successor custodian/trustee, and I agree to transfer only those assets which can be held in such account(s) as described in the relevant IRA Custodial Agreement or Plan Document. **If I am over 70½, I attest that this transfer will not violate the required minimum distribution rules under Section 401(a)(9) of the Internal Revenue Code.** If I am transferring a Roth IRA, I understand that it is my responsibility to track the Five-Year Aging Date. If I am transferring a Traditional or Rollover IRA that is a different type from the Premiere Select IRA I currently maintain at NFS, I hereby authorize NFS to combine or "commingle" my IRA assets. I understand that I may forfeit the right to reinvest my Rollover IRA assets in another employer-sponsored retirement plan in the future. If I am transferring to a Premiere Select IRA-BDA or Premiere Select Roth IRA-BDA, I represent that this transfer is in compliance with the terms and conditions of the Custodial Agreement governing the decedent's IRA or the inherited IRA, as applicable. I accept full responsibility for complying with all BDA transfer requirements.

## Registration Differences

If you are transferring an account that does not exactly match your NFS account, all delivering account owners must complete this section and sign below. Consult your legal or tax advisor regarding your personal situation. Additional documentation may be required to effect a transfer of assets between unlike registrations.

I (We) are transferring from (name of firm) \_\_\_\_\_, registered as (name(s) on account) \_\_\_\_\_ and hereby authorize the transfer of this account to NFS, registered as (name(s) on account) \_\_\_\_\_.

|           |                   |
|-----------|-------------------|
| Owner     |                   |
| Signature | Date (MM-DD-YYYY) |
| X         |                   |

|             |                   |
|-------------|-------------------|
| Joint Owner |                   |
| Signature   | Date (MM-DD-YYYY) |
| X           |                   |

|             |                   |
|-------------|-------------------|
| Joint Owner |                   |
| Signature   | Date (MM-DD-YYYY) |
| X           |                   |

Medallion  
Signature Guarantee

Medallion  
Signature Guarantee

Medallion  
Signature Guarantee

### Letter of Acceptance

To the previous trustee or custodian: Please be advised that  \_\_\_\_\_ or  National Financial Services LLC/Fidelity Management Trust Company will accept the account described herein as successor custodian/trustee.

|                                       |                   |
|---------------------------------------|-------------------|
| Successor Custodian/Trustee Signature | Date (MM-DD-YYYY) |
| X                                     |                   |