

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

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
- 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"

B. Mutual Fund Company Transfer

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

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

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

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

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.



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.

- 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. 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.

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

Transfer of Assets – Additional Assets Schedule

Use this form in conjunction with the Transfer of Assets form to list additional assets to be transferred to your National Financial Services, LLC (“NFS”) account. Type on screen or print out and fill in using CAPITAL letters and black ink. If you need more room for information, use a copy of the relevant page.

Delivering Firm Name	Delivering Firm Account Number
Receiving Firm Name	Receiving Account Number

1. Brokerage or Trust Company Transfer *Additional assets*

Complete to continue the list of assets from Section 3.A, Brokerage or Trust Company Transfer, on the Transfer of Assets form. **These assets will be transferred In Kind.**

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

2. Mutual Fund Company Transfer *Additional assets*

Complete Section 2 to continue the list of assets from Section 3.B, Mutual Fund Company Transfer, on the Transfer of Assets form.

Fund Name/Symbol and Account Number	# of Shares or "All"	Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind* <input type="checkbox"/> Liquidate		<input type="checkbox"/> In Kind* <input type="checkbox"/> Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"	Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind* <input type="checkbox"/> Liquidate		<input type="checkbox"/> In Kind* <input type="checkbox"/> Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"	Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind* <input type="checkbox"/> Liquidate		<input type="checkbox"/> In Kind* <input type="checkbox"/> Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"	Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind* <input type="checkbox"/> Liquidate		<input type="checkbox"/> In Kind* <input type="checkbox"/> Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"	Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind* <input type="checkbox"/> Liquidate		<input type="checkbox"/> In Kind* <input type="checkbox"/> Liquidate	

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