Clearing through National Financial Service	Transaction	n ID							
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	Clearing	throug	ah Na	tiona	al Fin	anc	ial	Ser	vice

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.

Account Number		Account Number	DTC Number
Account Owner/Trust/Entity Name		Account Owner/Trust/Entity Name(s)	
Social Security Number/Taxpayer ID Num	nber	Delivering Firm Name	
Additional Account Owner/Trust/Entity	Name	Address	City
Social Security Number/Taxpayer ID Num	nber —	State Zip Code	Delivering Firm Phone
l l l l l l l l l l l l l l l l l l l	529 Plan Check if the account is a 529 and indicate the 529 Account	2.5 0000	Delivering Time Time
Passing Assembly Type Ch	Type below.	Delivering Assembly Type	Charles
Receiving Account Type Che	eck one.	Delivering Account Type	Check one.
Nonretirement Accounts	Retirement Accounts	Nonretirement Accounts	Retirement Accounts
☐ Individual	Traditional, SEP, or Rollover IRA	☐ Individual	☐ Traditional, SEP, or Rollover IRA
☐ Joint	Roth IRA	Joint	☐ Roth IRA
☐ Trust	☐ SIMPLE IRA	☐ Trust	☐ SIMPLE IRA
Corp/Business	☐ Beneficiary IRA	☐ Corp/Business	☐ Beneficiary IRA
☐ UGMA / UTMA	☐ Roth Beneficiary IRA	UGMA / UTMA	Roth Beneficiary IRA
☐ Estate	☐ Qualified Plan*	☐ Estate	Qualified Plan*
Other		Other	
3. Transfer Insti	ructions Complete A, B, C, D		
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D. Annuity Transfer		E. Transfer Agent Tra	ansfer
All annuities must be surrendered (cashed in), whic implications, penalties, fees, and loss of product fe	eatures.	Security Symbol or Name	
 □ 1. Full Annuity Surrender Transfer the entire amount □ 2. Penalty-Free Surrender Transfer ONLY the period of the penalty-free portion is the full balance, transfer the following □ 3. Partial Annuity Surrender Transfer the following □ Cash Amount ■ \$\frac{1}{2}\$\$ \$\frac{1}{2}\$\$\$ \$\frac{1}{2}\$	nalty-free portion. Isfer the full balance.	2. Transfer all whole s	shares, sell fractions, and close account. the Number of Shares of
4. Signatures and Dates A	All owners of both	accounts must sign th	his 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 nontransferable money fund shares, and any shares of other mutual funds that you have requested be sold, and transfer the proceeds as cash. IF YOU ARE TRANSFERRING AN ACCOUNT WITH BOTH ACCOUNTS MUST SIGN BELOW.	account any fees that y to sell assets in your ac • Authorize the Deliverin orders on your account • Affirm that you have de credit/debit cards and with your account at the that account. • Indemnify and hold han NFS, their officers, dire affiliates, shareholders, representatives from ar may occur in the event requirements concernir	rannot be transferred. In grirm to deduct from your you owe, and, if necessary, count to pay those fees. In grirm to cancel any open to when it receives this form. In estroyed or returned any unused checks associated the Delivering Firm, if closing transfers your Broker/Dealer, ectors, employees, agents, successors, assigns, and the properties of th	 Instruct the Delivering Firm to transfer any physical certificates in good deliverable form, including any necessary tax waivers. Retirement Accounts Affirm, if you are 72 or older, 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.
Print Account Owner Name First, M.I., Last		MED	DALLION SIGNATURE GUARANTEE
Account Owner Signature	Date MM-DD	- YYYY	
Print Account Owner Name First, M.I., Last	,	MED	DALLION SIGNATURE GUARANTEE
Account Owner Signature	Date MM - DD	- ****	
Print Account Owner Name First, M.I., Last		MED	DALLION SIGNATURE GUARANTEE
Account Owner 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.

Signature

National Financial Services LLC, Member NYSE, SIPC

Successor/Custodian/Trustee's Representative

1.747272.113 - 414980.12.0 (02/20)

Date MM - DD - YYYY

1.747272.113 009990502 Page 2 of 2

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,

Delivering Firm Name			Delivering Firm Account Nun
Receiving Firm Name			Receiving Account Number
ū			
1. Brokerage or Trus [.]	t Company Tran	isfer Additional assets	
			· · · · · · · ·
omplete to continue the list of assets free transferred In Kind.	om Section 3.A, Brokerage or	Trust Company Transfer, on the Transfer	of Assets form. These a
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares
ecurity Name or Symbol	# Of Shares of All	Security Name or Symbol	# Of Shares (
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares
security Ivaline of Symbol	# Of Strates Of All	Security Name of Symbol	# Of Strates
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares
security Nume of Symbol	ii of Shares of 7th	Security Name of Symbol	iii or shares (
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares
occans, rame or oymbo.	ii oi oilaice oi 7 iii	Security Hame or Symbol	iii or cinares (
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares
, ,			
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares
2. Mutual Fund Com	nany Transfer A	dditional assets	
2. Mutual I ulia Colli	party framsier A	dditional assets	
Complete Section 2 to continue the list of			
22	of assets from Section 3.B, Mut	tual Fund Company Transfer, on the Tran	sfer of Assets form.
<u> </u>	of assets from Section 3.B, Mut	Fund Name/Symbol and Account Number	sfer of Assets form. # of Share
<u> </u>			
Fund Name/Symbol and Account Number			
Fund Name/Symbol and Account Number		Fund Name/Symbol and Account Number	
Fund Name/Symbol and Account Number	# of Shares or "All"	Fund Name/Symbol and Account Number ☐ In Kind* ☐ Liquidate	# of Share
Fund Name/Symbol and Account Number In Kind*	# of Shares or "All"	Fund Name/Symbol and Account Number In Kind* Liquidate Fund Name/Symbol and Account Number	# of Share
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Fund Name/Symbol and Account Number In Kind* Liquidate Fund Name/Symbol and Account Number	# of Shares or "All" # of Shares or "All"	Fund Name/Symbol and Account Number In Kind* Liquidate Fund Name/Symbol and Account Number In Kind* Liquidate	# of Share

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

Fund Name/Symbol and Account Number

Liquidate

Liquidate

☐ In Kind*

☐ In Kind*

National Financial Services LLC, Member NYSE, SIPC

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of Shares or "All"

☐ In Kind*

☐ In Kind*

Liquidate

Liquidate

Fund Name/Symbol and Account Number



of Shares or "All"