TD AMERITRADE Institutional

ACCOUNT TRANSFER FORM

Instructions to transfer securities, mutual funds or other deposits to your TD AMERITRADE Institutional account:

- Complete ***Sections 1-7*** of the attached Transfer Form. For new accounts, a new account application must also be completed.
- In ***Section 1***, fill in your TD AMERITRADE account information.
- In ***Sections 3-4***, complete the appropriate section for Brokerage or Mutual Fund transfers. Use ***Section 5*** for liquidating a Money Market Account, Certificate of Deposit, Annuity or Life Insurance Policy and for transferring a certificate from a Dividend Reinvestment Plan.
- Complete the form by signing in ***Section 6*** and return it in the business reply envelope provided. All parties/owners must sign the Transfer Form. Please verify that the Social Security Number and the title of the account at TD AMERITRADE are exactly the same as the account at the other institution.
- **IMPORTANT: ATTACH A *COPY* OF THE MOST RECENT STATEMENT FROM THE INSTITUTION YOU ARE TRANSFERRING FROM.** If you send us an original statement, we will photocopy it and return it to you.
- Do not use this form to transfer between TD AMERITRADE accounts.

Transfer section

Choose From:

Brokerage Firm Transfer

- For full account transfers, check box and sign in signature section.
- If you're transferring part of your account, list only the assets you want transferred to TD AMERITRADE.
- If you're transferring an Individual account into a Joint account at TD AMERITRADE, please include a letter of authorization signed by both account owners. The letter should state that you are both aware of the change from an Individual account to a Joint account.

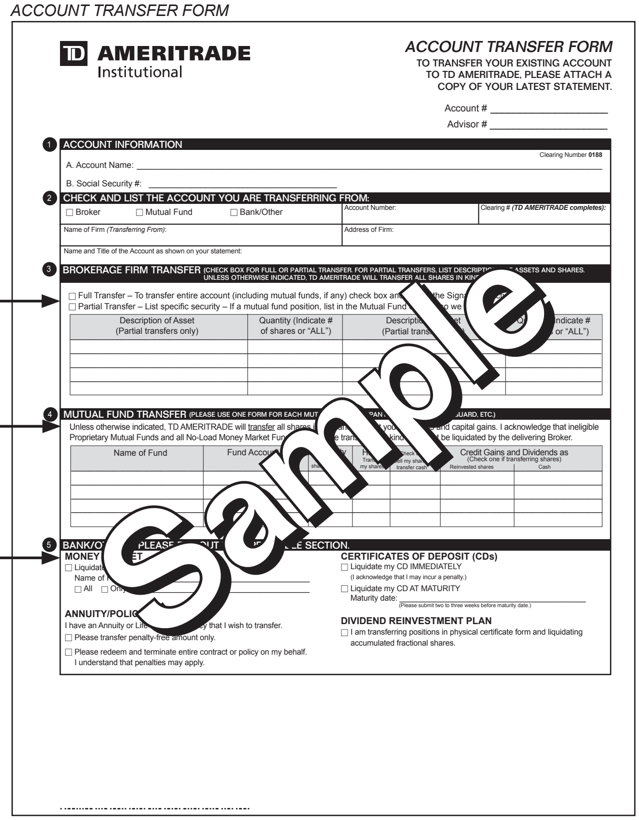
Mutual Fund Company Transfer

- Call TD AMERITRADE Institutional at 800-431-3500 to make sure the mutual fund is transferable to TD AMERITRADE. Over 10,000 funds are available.
- Send a separate Transfer Form for each mutual fund company (e.g., Vanguard, Fidelity, Berger, etc.) from which you're transferring. Photocopy our form if necessary or call for additional forms.

Bank/Other

- To transfer a Money Market Account, please complete this section.
- To transfer the proceeds of a maturing CD, initiate your transfer at least two to three weeks before the maturity date.
- To transfer an Annuity or Life Insurance Policy, please check the appropriate box.
- To transfer a physical certificate, usually associated with a Dividend Reinvestment Plan, check the appropriate box. **Please note:** fractional shares will be liquidated and transferred as cash.

ACCOUNT TRANSFER FORM



(Account Transfer Form — see next page)

Roth Conversions

- In order to convert your Traditional IRA at another firm to a Roth IRA at TD AMERITRADE, please convert to the Roth IRA with your existing custodian and then complete a Transfer to a Roth IRA at TD AMERITRADE.

IF YOU HAVE ANY QUESTIONS, PLEASE CONTACT YOUR ADVISOR.

Need more forms? Photocopy this form, call us or visit our Web site at ***www.Advisorclient.com*** *for additional forms.*

Reset Form

TD AMEREITRADE Institutional

ACCOUNT TRANSFER FORM

TO TRANSFER YOUR EXISTING ACCOUNT TO TD AMERITRADE, PLEASE ATTACH A COPY OF YOUR LATEST STATEMENT.

Account # ____________________

Advisor # ____________________

1 ACCOUNT INFORMATION

Clearing Number **0188**

A. Account Name: ____________________

B. Social Security #: ____________________

2 CHECK AND LIST THE ACCOUNT YOU ARE TRANSFERRING FROM:

☐ Broker ☐ Mutual Fund ☐ Bank/Other

Account Number:

Clearing # ***(TD AMERITRADE completes):***

Name of Firm *(Transferring From)*:

Address of Firm:

Name and Title of the Account as shown on your statement:

3 BROKERAGE FIRM TRANSFER (CHECK BOX FOR FULL OR PARTIAL TRANSFER. FOR PARTIAL TRANSFERS, LIST DESCRIPTIONS OF ASSETS AND SHARES. UNLESS OTHERWISE INDICATED, TD AMERITRADE WILL TRANSFER ALL SHARES IN KIND.)

☐ Full Transfer – To transfer entire account (including mutual funds, if any) check box and skip to the Signature Section.

☐ Partial Transfer – List specific security – If a mutual fund position, list in the Mutual Fund Section so we receive all details.

Description of Asset (Partial transfers only)	Quantity (Indicate # of shares or "ALL")	Description of Asset (Partial transfers only)	Quantity (Indicate # of shares or "ALL")

4 MUTUAL FUND TRANSFER (PLEASE USE ONE FORM FOR EACH MUTUAL FUND COMPANY – E.G., T. ROWE PRICE, VANGUARD, ETC.)

Unless otherwise indicated, TD AMERITRADE will transfer all shares in kind and reinvest your dividends and capital gains. I acknowledge that ineligible Proprietary Mutual Funds and all No-Load Money Market Funds can NOT be transferred in kind and must be liquidated by the delivering Broker.

Name of Fund	Fund Account #	Quantity (Indicate # of shares or "ALL")	Handling (Check one)		Credit Gains and Dividends as (Check one if transferring shares)	
			Transfer my shares	Sell my shares, transfer cash	Reinvested shares	Cash

5 BANK/OTHER – PLEASE FILL OUT THE APPLICABLE SECTION.

MONEY MARKET

☐ Liquidate my Money Market

Name of Fund: ____________________

☐ All ☐ Only $ ____________________

ANNUITY/POLICY

I have an Annuity or Life Insurance Policy that I wish to transfer.

☐ Please transfer penalty-free amount only.

☐ Please redeem and terminate entire contract or policy on my behalf. I understand that penalties may apply.

CERTIFICATES OF DEPOSIT (CDs)

☐ Liquidate my CD IMMEDIATELY

(I acknowledge that I may incur a penalty.)

☐ Liquidate my CD AT MATURITY

Maturity date: ____________________

(Please submit two to three weeks before maturity date.)

DIVIDEND REINVESTMENT PLAN

☐ I am transferring positions in physical certificate form and liquidating accumulated fractional shares.

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6 SIGNATURE(S): PLEASE READ AND SIGN THIS SECTION (A COPY OF YOUR LATEST STATEMENT IS REQUIRED).

If this account is a qualified retirement account, I have amended the applicable plan so that it names TD AMERITRADE Clearing, Inc. as a successor custodian. If I am over 70½, I attest that none of the amount to be transferred will include the required minimum distribution for the current year pursuant to Section 401(a)(g) of the Internal Revenue Code.

Unless otherwise indicated in the instructions above, please transfer all assets in my account in kind to TD AMERITRADE. 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 NYSE Rule 412 or similar rule of the FINRA or other designated examining authority.

Unless otherwise indicated in the instructions below, I authorize you to liquidate any non-transferable proprietary money market fund assets that are part of my account and the resulting credit balance to TD AMERITRADE Clearing, Inc. 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 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 sale, when and as directed by me. I understand that upon receiving a copy of this transfer instruction, 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 securities account.

Client's Signature: ______________________________ Date: ______________

Client's Signature if Joint Account: ______________________________ Date: ______________

7 DISCREPANCIES OF ACCOUNT NAME AND TYPE (OPTIONAL)

If the account that you are transferring is in an individual's name and your TD AMERITRADE account is a Joint account, then each Joint account owner must sign below. We hereby authorize a transfer from the Individual account of ______________________________ to the Joint account at TD AMERITRADE for ______________________ and ______________________.

Joint Account Owner: ______________________________ Date: ______________

Joint Account Owner: ______________________________ Date: ______________

8 LETTER OF ACCEPTANCE FOR RETIREMENT PLANS (TD AMERITRADE COMPLETES)

To the prior trustee or custodian: Please be advised that TD AMERITRADE Clearing, Inc. will accept the above-captioned account as successor custodian.

Successor Custodian
Authorized Signature: ______________________________ Date: ______________ Date of Trust: ______________

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FOR TD AMERITRADE USE ONLY:

Receiving Firm Information

Clearing Firm: TD AMERITRADE Clearing, Inc.
Tax ID Number: 47-0533629
Name and Address: TD AMERITRADE, Inc.
Attn: Transfer of Accounts Department
1005 N. Ameritrade Place
Bellevue, NE 68005

All deliveries MUST include client name and TD AMERITRADE, Inc. ("TD AMERITRADE") account number.

Depository Trust Company	DTC # 0188
Physical Delivery of Securities	TD AMERITRADE, Inc. FBO Client Name and Account Number PO Box 2226 Omaha, NE 68103-2226 1005 N. Ameritrade Place Bellevue, NE 68005
Book-Entry GNMA Securities	PTC Instructions are: BKNYCATP
Federal Book Entry (e.g., Treasury Notes)	BK of NYC/TD AMERITRADE ABA #021000018
Fed Wired Monies	Wire to: First National Bank of Omaha 16th & Dodge Streets Omaha, NE 68102 A/C of TD AMERITRADE, Inc. ABA #104000016 A/C #16424641 For Further Credit to: Client's Name and Account Number
Forward Checks	TD AMERITRADE, Inc. FBO Client Name and Account Number PO Box 919031 San Diego, CA 92191-9031 4075 Sorrento Valley Blvd., Suite A San Diego, CA 92121
Mutual Fund Registration	TD AMERITRADE, Inc. Tax ID Number: 47-0533629 FBO Client's Name and Account Number PO Box 2226 Omaha, NE 68103-2226 Broker/Dealer: TD AMERITRADE, Inc. 1005 N. Ameritrade Place Bellevue, NE 68005
Options	Options Clearing Corporation: OCC #0777