TD AMERITRADE Institutional

ACCOUNT TRANSFER FORM

Complete and return to:
TD AMERITRADE Institutional
4075 Sorrento Valley Blvd., Suite A • San Diego, CA 92121

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

- Complete ***Sections 1-7*** of the attached *Transfer Form*. Begin by indicating whether you are transferring to a new or existing account in ***Section 1***. For new accounts a new account application must also be completed.
- In ***Section 2***, fill in your TD AMERITRADE account information.
- In ***Section 4-5***, complete the appropriate section for Brokerage or Mutual Fund transfers. Use Section 6 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 7*** 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 a single account into a joint account at TD AMERITRADE, please include a letter of authorization signed by both account holders. The letter should state that you are both aware of the change from a single to a joint account.

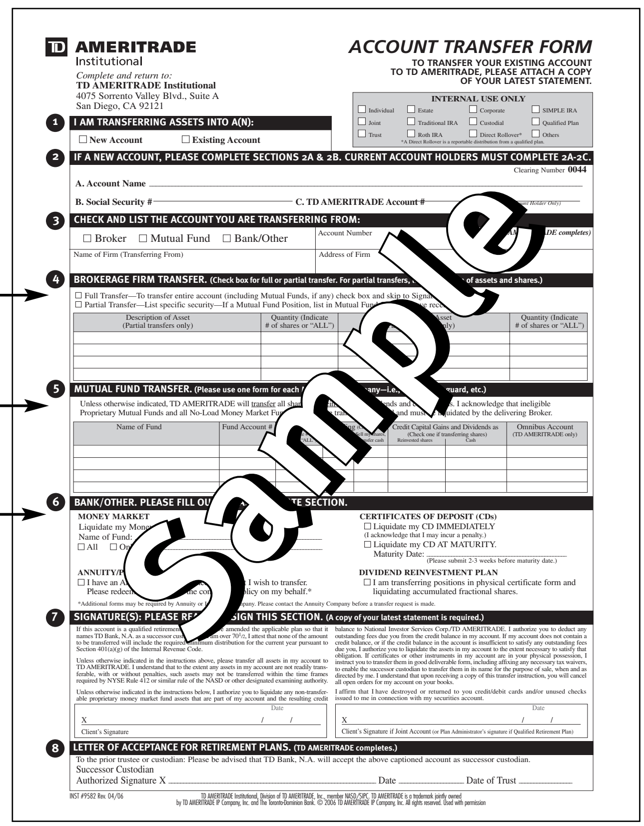
Mutual Fund Company Transfer

- Call TD AMERITRADE Institutional at 1-800-431-3500 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 2-3 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 ***advisorservices.com*** *for additional forms.*

Reset Form

TD AMERITRADE Institutional

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San Diego, CA 92121

ACCOUNT TRANSFER FORM

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

INTERNAL USE ONLY

☐ Individual	☐ Estate	☐ Corporate	☐ SIMPLE IRA
☐ Joint	☐ Traditional IRA	☐ Custodial	☐ Qualified Plan
☐ Trust	☐ Roth IRA	☐ Direct Rollover*	☐ Others

*A Direct Rollover is a reportable distribution from a qualified plan.

1 I AM TRANSFERRING ASSETS INTO A(N):

☐ New Account ☐ Existing Account

2 IF A NEW ACCOUNT, PLEASE COMPLETE SECTIONS 2A & 2B. CURRENT ACCOUNT HOLDERS MUST COMPLETE 2A-2C.

Clearing Number **0044**

A. Account Name ______________________________

B. Social Security # ____________________ **C. TD AMERITRADE Account #** ____________________
(Current Account Holder Only)

3 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	

4 BROKERAGE FIRM TRANSFER. (Check box for full or partial transfer. For partial transfers, list description of assets and shares.)

☐ Full Transfer—To transfer entire account (including Mutual Funds, if any) check box and skip to Signature Section.
☐ Partial Transfer—List specific security—If a Mutual Fund Position, list in 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")

5 MUTUAL FUND TRANSFER. (Please use one form for each Mutual Fund Company—i.e., Fidelity, Vanguard, etc.)

Unless otherwise indicated, TD AMERITRADE will transfer all shares 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) Transfer my shares	Sell my shares, transfer cash	Credit Capital Gains and Dividends as (Check one if transferring shares) Reinvested shares	Cash	Omnibus Account (TD AMERITRADE only)

6 BANK/OTHER. PLEASE FILL OUT THE APPROPRIATE SECTION.

MONEY MARKET
Liquidate my Money Market.
Name of Fund: ______________________________
☐ All ☐ Only $ ______________________________

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 2-3 weeks before maturity date.)

ANNUITY/POLICY
☐ I have an Annuity or Life Insurance Policy that I wish to transfer. Please redeem and terminate the contract or policy on my behalf.*

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

*Additional forms may be required by Annuity or Insurance Company. Please contact the Annuity Company before a transfer request is made.

7 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 Bank USA, N.A. as a successor custodian. If I am over $70^1/_2$, 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 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 NASD 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 National Investor Services Corp./TD AMERITRADE. 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.

X ______________________________ Date ___/___/___
Client's Signature

X ______________________________ Date ___/___/___
Client's Signature if Joint Account (or Plan Administrator's signature if Qualified Retirement Plan)

8 LETTER OF ACCEPTANCE FOR RETIREMENT PLANS. (TD AMERITRADE completes.)

To the prior trustee or custodian: Please be advised that TD Bank USA, N.A. will accept the above captioned account as successor custodian.
Successor Custodian
Authorized Signature X ______________________________ Date ____________ Date of Trust ____________

FOR TD AMERITRADE USE ONLY:

Receiving Firm Information

Tax ID Number: 13-3842038
Name and Address: National Investor Services Corp.
55 Water Street, 32nd Floor
New York, NY 10041

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

All DTC-Eligible Securities	National Investor Services Corp. Deliver to DTC Clearing 0044, Code 40 All deliveries MUST include client name and TD AMERITRADE account number.
Physical Delivery of Securities	National Investor Services Corp. or Deliver Thru NSCC Clearing #0044 Attn: Cashiers Department 55 Water Street 32nd Floor New York, NY 10041
Book-Entry GNMA Securities	Bank of New York Book to: BKNYC A/C WHP/National Investor Services Corp. A/C # & Name All deliveries MUST include client name and TD AMERITRADE account number.
Fed Entry Securities (e.g., Treasury Notes)	Bank of New York BK of NYC/National Invtr Svcs ABA # – 021000018 TD AMERITRADE A/C # Client's Name All deliveries MUST include client name and TD AMERITRADE account number.
Fed Wired Monies	Wire to: The Bank of New York 101 Barclay Street New York, NY 10286 ABA # 021000018 FBO: National Investor Services Corp. A/C # 8900437111 For the Account of ______________________ TD AMERITRADE A/C #______________________ All wires MUST include client name and TD AMERITRADE account number.
Forward Checks	National Investor Services Corp. Attn: ATS Advisor Services P.O. Box 919031 San Diego, CA 92191-9031 All deliveries MUST include client name and TD AMERITRADE account number.
Foreign Securities	Merrill Lynch International FBO National Investor Services Corp. All checks MUST include client name and TD AMERITRADE account number.
Mutual Fund Instructions	Transfer the shares to the referenced National Investor Services Corp. account.
Liquidations of Mutual Funds	Please forward checks to: National Investor Services Corp. ATS Advisor Services P.O. Box 919031 San Diego, CA 92191-9031