Transfer of Assets Instructions

Complete this form to authorize the transfer of assets currently at another firm to your applicable non-retirement or retirement account held at National Financial Services LLC ("NFS"). If you are transferring more than one account complete one form for each account you are transferring. You may send us a photocopy of the transfer form; however, we need an original signature on each form.

Important Instructions – Please read carefully before filling out the Transfer of Assets Form.

- Please attach a recent statement (within 90 days) for the account or asset(s) to be transferred.
- All account owners/trustees must sign the Transfer of Assets Form ("TOA Form").
- If the account registrations do not match exactly, additional documentation may be required. Please see the Additional Information section below or ask your investment advisor for more information.
- Additional documentation is required when an attorney-in-fact signs, or when the registration is a corporation, partnership, or other entity. Please see the Additional Information section below or ask your Broker/Dealer for more information.

1 Receiving Account Information

The type of account you are transferring must match the type of account you maintain or are opening at NFS. If you are transferring an account with a different registration than the one you maintain at NFS, the appropriate new account paperwork must be attached to this form.

2 Delivering Account Information

Include a copy of your most recent account statement from your current firm. If you are transferring margin and/or options positions, you must have an approved margin and/or options application(s) on file with FBS. **If you are transferring mutual funds directly from the fund company you must provide all fund/account numbers**.

Registration Specific Information

Non-Prototype Retirement Accounts

(1) Provide a copy of your Trustee Certification of Investment Powers.

(2) Notify your Broker/Dealer if the trustees of the delivering and receiving accounts are not the same people.

Trust Accounts

(1) Provide a copy of your Trustee Certification of Investment Powers.

(2) Notify your Broker/Dealer if the trustees of the delivering and receiving accounts are not the same people.

Corporate Accounts

Provide a copy of a corporate resolution authorizing the signature(s) on the Transfer of Assets Form. The corporate resolution must bear the corporate seal. If no corporate seal is available, please submit a copy of the Articles of Incorporation.

Partnerships

Provide a copy of your Partnership Agreement. All General Partners must sign the Transfer Form.

Power of Attorney

Before submitting a Transfer Form signed by an attorney-in-fact, please make sure the Power of Attorney has been added to your brokerage account. Provide a copy of the durable POA document and the POA Affidavit & Indemnification.

Custodial Accounts (UTMA/UGMA)

If the minor is now of age and you are transferring to an individual account, the custodian must still sign the Transfer Form. Please provide a copy of the minor's birth certificate or other legal proof of age, as the delivering custodian may require proof of age.

Individual Account to a Joint Account or Joint Account to an Individual Account

Please provide an original Letter of Instruction signed by the delivering account owner(s) authorizing the change in ownership.

3 Transfer Instructions

Assets are either transferred in-kind or liquidated and transferred as cash. All cash assets are deposited to your core account.

Some types of transfers require special arrangements or fees.

- If you hold proprietary mutual funds at your current firm, generally you will need to liquidate them. Like money market mutual funds, most proprietary mutual funds can only be held by the issuer and cannot be transferred. Certain non-proprietary funds may not be eligible for an in-kind transfer. Check with the firm holding your funds to determine eligibility to transfer in-kind.
- A bank CD generally requires four weeks to transfer. If you do not designate whether the proceeds of your CD are to be transferred at maturity (by providing the maturity date) or immediately (by checking the box for immediate liquidation), the proceeds of 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.
- If you hold an annuity and transfer the proceeds, you may incur surrender charges or other charges and penalties. NFS does not hold annuities in brokerage accounts.

You may be responsible for liquidation or termination fees when you transfer your assets. Check with the firm holding your assets for information regarding these fees.

Additional Information about Retirement Account Transfers

If you combine certain rollover contributions with other contributions in the same IRA the assets will be commingled and you may forfeit the right to roll over any of the assets into another employer-sponsored plan.

By completing this Customer Account Transfer Form and sending it to your Broker/Dealer, you are requesting that NFS transfer 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 Premiere Select 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.

Additional Information

Possible Fees – You may be responsible for liquidation, termination, and penalty fees when you transfer assets. Check with the firm holding your assets for information regarding these fees.

Margin/Options – If transferring margin and/or option positions, you must have an approved Margin and/or Options application(s) on file with NFS.

Roth Conversions – This form may not be used to convert an IRA to a Roth IRA nor to deconvert an existing Roth IRA.

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.

SIMPLE IRAs – There is a 25% IRS penalty for owners under age 59½ who transfer out of a SIMPLE IRA during the 2-year period beginning on the date when the first contribution was deposited.

Proprietary Mutual Funds – Certain proprietary mutual funds may not be eligible for an in-kind transfer. Check with the firm holding your funds to determine their eligibility to transfer in kind.

Annuities – Since NFS brokerage accounts do not hold annuities, "transfer in kind" is not an option.

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 don't have symbols and don't trade on an exchange, may only be held in NFS non-prototype retirement accounts.

4 Owner Authorization and Signature

The account information provided in Section 1 of this form must match the name listed on the registration of the account at the delivering firm and the name on the account statement being provided. If the assets you are transferring are qualified plan assets, the signature of the plan administrator(s) or trustee(s) must be included on this form.

Account Number

Transaction ID

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

Transfer of Assets Form

1 Receiving Account Information

Primary Account Holder/ Custodian/Trustee Name

Social Security Number/ Taxpayer ID Number

Joint Account Holder/ Minor/Trustee Name

Entity/Business/ Trust Name

2 Delivering Account Information

Primary Account Holder/ Custodian/Trustee Name

Account Number

Joint Account Holder/ Minor/Trustee Name

Entity/Business/ Trust Name

Indicate the type of account you are transferring (Check one)

Retirement: ☐ Traditional IRA ☐ SEP-IRA ☐ Rollover IRA ☐ Roth IRA ☐ Qualified/Profit Sharing ☐ Qualified/Money Purchase

Other ☐ IRA-Beneficiary Distribution Account* ☐ Roth IRA Beneficiary Distribution Account

Non-Retirement: ☐ Individual Account ☐ Joint Account ☐ Estate Account ☐ Corporate Account

☐ Custodian Account (UGMA/UTMA) ☐ Trust Account ☐ Other

Delivering Firm Name

Delivering Firm Address

City State Zip/Postal Code

*IRA-Beneficiary Distribution Account includes assets inherited from a Traditional IRA, Rollover IRA, SEP-IRA and SIMPLE IRA.

3 Transfer Instructions

Complete either section A, B or C (one section only). Within section A, B or C, check only one box, and fill areas as applicable.

Liquidation Requests: Please note that National Financial Services LLC is not responsible for market fluctuation on transfer request with written liquidation instructions.

A. **Full Transfer from a Brokerage Account or Mutual Fund Company**

☐ 1. Transfer in kind all assets in my account (money markets may be liquidated).

☐ 2. Liquidate all assets in my account and transfer as cash (some delivering firms may not accept liquidation instructions).

B. **Partial Transfer from a Brokerage Account or Mutual Fund Company**

☐ 1. Transfer only a portion of my account, as detailed below. (Please use additional copies of this page if necessary.)

Name/Symbol of Security	Fund # and Account # *Required for mutual funds only*	# of Shares or "All"	Type of Transfer
			☐ In kind ☐ Liquidate
			☐ In kind ☐ Liquidate
			☐ In kind ☐ Liquidate
			☐ In kind ☐ Liquidate
			☐ In kind ☐ Liquidate

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C. **Bank, Insurance Co., or Credit Union Transfers**

- [ ] 1. Transfer all cash in my account.
- [ ] 2. Transfer only $ ______ . __
- [ ] 3. CD: Liquidate CD at maturity and transfer proceeds.

  Maturity date is* __ - __ - ____

- [ ] 4. CD: Liquidate CD immediately and transfer proceeds. I am aware of and acknowledge any penalty or fee I will incur from an early withdrawal.
- [ ] 5. Annuity: Liquidate full annuity and transfer proceeds. I am aware of and acknowledge any penalty or fee I will incur from an early withdrawal.
- [ ] 6. Annuity: Liquidate only $ ______ . __ of annuity and transfer proceeds. I am aware of and acknowledge any penalty or fee I will incur from an early withdrawal.
- [ ] 7. Annuity: Liquidate only the amount of annuity available without penalty.

*Submit your request at least 21 days before maturity, but no more than 60 days before maturity.

4 Owner Authorization and Signature

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 Section 3, I authorize you to liquidate any non-transferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the successor custodian/trustee. I understand that if I choose a method of disposition of such assets other than liquidation and transfer, I may become liable for the payment of taxes and penalties with respect to such assets. I also understand that I will be notified in writing by the delivering firm, and/or by the receiving firm with respect to the disposition of any other assets in my account that are non-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, SIMPLE IRA, IRA-Beneficiary Distribution Account, Roth IRA-Beneficiary Distribution Account or to a Premiere Select Retirement Plan, I acknowledge that I have adopted a new Premiere Select Traditional IRA, Roth IRA, Rollover IRA, SEP-IRA, SIMPLE IRA, IRA-Beneficiary Distribution Account, Roth IRA-Beneficiary Distribution Account or Premiere Select Retirement Plan with NFS/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 Custodial Agreement or Plan Document. **If I am transferring Traditional IRA, Rollover IRA, SEP-IRA, SIMPLE IRA, or qualified plan assets and I have passed the required beginning date for taking required distributions, I attest that none of the amount to be transferred in my account includes my required minimum distribution for the current year pursuant to Section 401(a)(9) of the Internal Revenue Code and related regulations.** If I am transferring a Traditional or Rollover IRA that contains a different type of contribution from the Premiere Select Traditional IRA or Rollover IRA I currently maintain at NFS, I hereby authorize NFS to combine or "commingle" my IRA assets. By doing so, I understand that I may forfeit the right to invest my Rollover IRA assets in another employer-sponsored retirement plan in the future. 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 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.

All owners or trustees must sign this form.

Primary Account Holder Signature	Date	Joint Account Holder Signature	Date
Joint Account Holder Signature	Date	Joint Account Holder Signature	Date
Joint Account Holder Signature	Date	Joint Account Holder Signature	Date

Medallion	Medallion
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 ______

Registered Rep / Branch: Bruce Fenton R27

Clear Form