



**ASSETS LIST: For partial transfers, Direct Mutual Fund Transfers or Liquidations. Not required for full ACAT transfers.** (Attach a separate sheet, if needed, signed and dated by all account owners. If assets are listed below, all account owners MUST sign pg 1 and pg 2 of this form.)

QUANTITY	ASSET DESCRIPTION	CUSIP/SYMBOL	FUND ACCOUNT #	INSTRUCTIONS (Check one)	DIVIDENDS (Check one)	CAPITAL GAINS (Check one)
				<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer in kind	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
				<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer in kind	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
				<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer in kind	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
				<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer in kind	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
				<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer in kind	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
				<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer in kind	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
				<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer in kind	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
				<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer in kind	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
				<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer in kind	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest

**CLIENTS PLEASE NOTE: If you have requested a liquidation, your market price is not guaranteed. You will receive current market price(s) after your transfer request is received, reviewed, and determined to be in good order by the delivering firm. Pershing/SSG is not responsible for market fluctuations or delays in the review process. If this is a mutual fund transfer and there is no dividend or capital gain option checked in the section above, the default dividend option will be "Reinvest."**

**To the Delivering Firm:** If this account is a qualified retirement account, I have amended the applicable plan so that it names the successor custodian as the trustee. Unless otherwise indicated in the instruction above, please transfer all assets in my account to Pershing without penalties. Such assets may be transferred within the time frames required by NYSE Rule 412 or similar rule of the National Association of Securities Dealers (NASD) or other designated examining authority. Unless otherwise indicated in the instructions above, I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the successor custodian. I authorize you to deduct any outstanding fees due to 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 to 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 the sale, when, and as directed to me. I understand that upon receiving a copy of this transfer information, 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 brokerage account. I understand that you will contact me with respect to the disposition of any assets in my account that ARE NOT TRANSFERRABLE

CLIENT SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_  
 JOINT CLIENT SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

**For Delivering Firm**

**CONTACT & Delivery Information**  
 ACAT Department: (201) 413-4687  
 Non-ACAT Department: (201) 413-4571 or (201) 413-4591  
 Mutual Fund Department: (888) 367-2563 (Option 4)

**SEND to** Pershing LLC  
 One Pershing Plaza  
 Jersey City, New Jersey 07399  
 TAX IDENTIFICATION NUMBER: 13-2741729

- CHECKS\*** Send qualified plan account checks to **ATTN: Retirement Products Department.**  
 Send nonqualified plan account checks to **ATTN: Money Desk.**
- CERTIFICATES\*** Send certificates to **ATTN: Department S.**
- LIMITED PARTNERSHIPS DOCUMENTS\*** Send limited partnership documents to **ATTN: Non-ACAT Department.**
- DEPOSITORY TRUST AND CLEARING CORPORATION (DTCC) AND ELIGIBLE SECURITIES AND OPTIONS\***  
 Instruct DTCC eligible securities and the Options Clearing Corporation eligible options to clearing broker number 0443.
- FEDERAL ENTRY SECURITIES\*** Instruct federal entry securities, for instance, Treasury notes, to **BK OF NY/PERSHING**, ABA number 021000018.
- FEDERAL FUND WIRES (Cash)\*** To transfer federal funds to Pershing, your clients must provide the following wire instructions to the financial organization that will be transmitting the funds on their behalf:  
**BANK:** The Bank of New York  
**ABA NUMBER:** 021000018  
**BENEFICIARY:** Pershing LLC  
**BENEFICIARY ACCOUNT NUMBER:** 890-051238-5  
**ULTIMATE BENEFICIARY:** <Client's Brokerage Account Name>  
**ULTIMATE BENEFICIARY ACCOUNT NUMBER:** <Client's Brokerage Account Number (e.g., 123-456789-1)>
- NOTE:** If any of the above information is missing, there may be a delay in crediting the account or the funds may be returned to the sender. With regard to incoming federal fund wires for retirement accounts for which Pershing LLC is the custodian or servicing agent, please notify the Retirement Product Department at wire code IRA#, on any contribution-related deposits to ensure that the funds are coded properly for tax reporting.
- FOREIGN SECURITIES\*** Send all foreign securities to **ATTN: Non-ACAT Department** to setup instructions to receive the securities using Euroclear number 92146.
- REJECT LETTERS\*** Send all reject letters to the Non-ACAT Department.

\* Include the Pershing account number on all documentation.