

Transaction ID (For Internal Use Only)

40

TRANSFER OF ASSETS

This form authorizes the transfer of assets, currently at another firm, to your brokerage account held at National Financial Services LLC ("NFS").

IMPORTANT: Attach all pages of a recent account statement.

Representative Name	Rep ID	Account #
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1. Receiving Account Information

Account Number
Account Owner/Trust/Entity Name
SSN/TIN
Additional Account Owner/Trust/Entity Name
SSN/TIN

2. Account Being Transferred

Delivering Account Number	DTC Number	
Account Owner/Trust/Entity Name		
Delivering Firm Name		
Address	City	
State	Zip Code	Delivering Firm Phone

Receiving Account Type (Check one.)

- | Nonretirement Accounts | Retirement Accounts |
|--|---|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Traditional, SEP, or Rollover IRA |
| <input type="checkbox"/> Joint | <input type="checkbox"/> Roth IRA |
| <input type="checkbox"/> Trust | <input type="checkbox"/> Individual 401(k) |
| <input type="checkbox"/> Corp/Business | <input type="checkbox"/> Roth Individual 401(k) |
| <input type="checkbox"/> UGMA | <input type="checkbox"/> SIMPLE IRA |
| <input type="checkbox"/> UTMA | <input type="checkbox"/> Beneficiary IRA |
| <input type="checkbox"/> Estate | <input type="checkbox"/> Roth Beneficiary IRA |
| | <input type="checkbox"/> Profit Sharing/Money Purchase Plan |
| <input type="checkbox"/> Other _____ | |

Delivering Account Type (Check one.)

- | Nonretirement Accounts | Retirement Accounts |
|--|---|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Traditional, SEP, or Rollover IRA |
| <input type="checkbox"/> Joint | <input type="checkbox"/> Roth IRA |
| <input type="checkbox"/> Trust | <input type="checkbox"/> Individual 401(k) |
| <input type="checkbox"/> Corp/Business | <input type="checkbox"/> Roth Individual 401(k) |
| <input type="checkbox"/> UGMA | <input type="checkbox"/> SIMPLE IRA |
| <input type="checkbox"/> UTMA | <input type="checkbox"/> Beneficiary IRA |
| <input type="checkbox"/> Estate | <input type="checkbox"/> Roth Beneficiary IRA |
| | <input type="checkbox"/> Profit Sharing/Money Purchase Plan |
| <input type="checkbox"/> Other _____ | |

Estimated Total Value of Transfer

\$ _____

Investment and insurance products and services including annuities are: NOT A DEPOSIT • NOT FDIC INSURED • MAY LOSE VALUE • NOT BANK GUARANTEED • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY

Brokerage and investment advisory products and services are offered by U.S. Bancorp Advisors, LLC, an SEC-registered broker-dealer, investment adviser, member FINRA / SIPC, and subsidiary of U.S. Bancorp and affiliate of U.S. Bank, N.A.

Insurance services are offered by USBA Insurance Services, a dba of U.S. Bancorp Advisors, CA Insurance License #6011694. Products may not be available in all states.

Primary Account Owner	SSN/TIN	Account #
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3. Transfer Instructions *(Complete A, B, C, D, or E.)*

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 do not instruct us otherwise, we will default to transfer in kind all eligible positions in the account. Money market mutual funds may be liquidated. **National Financial Services LLC is NOT responsible for market fluctuation on requests with written liquidation instructions.**

Complete a separate Additional Assets Schedule if you need to list more securities.

A. Brokerage or Trust Company Transfer

Brokerage account transfers are in kind; liquidate assets at current firm prior to submitting this form if you wish to have assets transferred in cash. For Annuities, complete Section 3.D.

- Alternative investment, the **required** full statement and applicable sponsor paperwork included (refer to sponsor for requirements).
- 1. Transfer the entire account, In Kind. *Skip to Section 4.*
- 2. Transfer only part of my account In Kind, as detailed below:

Security Name or Symbol	# of Shares or "All"
Security Name or Symbol	# of Shares or "All"
Security Name or Symbol	# of Shares or "All"

B. Mutual Fund Company Transfer

Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate	

C. Bank or Credit Union Transfer *(Do NOT use this form to transfer a nonretirement bank checking account.)*

- 1. Transfer cash only. All cash will be transferred unless you indicate a different amount to transfer here:

Cash Transfer Amount

- 2. Liquidate CD immediately and send cash. You may be charged a penalty for early withdrawal.
- 3. Liquidate CD at maturity and send cash.

CD Maturity Date MM/DD/YYYY	<i>The request must be submitted at least 21 days before maturity, and no more than 60 days before maturity.</i>
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D. Annuity Transfer

All annuities must be surrendered (cash in), which could mean tax implications, penalties, fees, and loss of product features.

- 1. Full Annuity Surrender *Transfer the entire amount in cash immediately.*
- 2. Penalty-Free Surrender *Transfer ONLY the penalty-free portion. If the penalty-free portion is the full balance, transfer the full balance.*
- 3. Partial Annuity Surrender *Transfer the following cash amount:*

Cash Amount

E. Transfer Agent Transfer

Security Name or Symbol
<input type="checkbox"/> 1. Transfer all whole shares and sell fractions. <input type="checkbox"/> 2. Transfer all whole shares only. <input type="checkbox"/> 3. Transfer all whole shares, sell fractions, and close account. <input type="checkbox"/> 4. Partial transfer of the following number of eligible whole shares:
of Shares or "All"

Primary Account Owner	SSN/TIN	Account #
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4. Signature and Certification

By attesting 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.
- Authorize the Delivering Firm to contact you about any assets that cannot be transferred.
- Authorize the Delivering Firm to deduct from your account any fees that you owe, and, if necessary, to sell assets in your account to pay those fees.
- Authorize the Delivering Firm to cancel any open orders on your account when it receives this form.

- Affirm that you have destroyed or returned any credit/debit cards and unused checks associated with your account at the Delivering Firm, if closing that account.
- Indemnify and hold harmless your Broker-Dealer, NFS, their officers, directors, employees, agents, affiliates, shareholders, successors, assigns, and representatives from any claims or losses that may occur in the event that you fail to meet any requirements concerning your brokerage account.
- Instruct the Delivering Firm to transfer any physical certificates in good deliverable form, including any necessary tax waivers.

Retirement Accounts

- Affirm, if you are subject to a required minimum distribution (RMD), 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.

U.S. BANCORP ADVISORS USE ONLY

Primary Owner:
 Agrees information provided is accurate: Yes No
 Authentication: _____
 Authentication IP Address: _____ Disclosure Acceptance: Yes No

For Custodian/Trustee Use Only: Letter of Acceptance

Fidelity Management Trust Company (FMTC)
 Fidelity Personal Trust Company (FPTC)

OR Specify

accepts appointment as successor custodian/trustee for the retirement account referenced herein. Transfer the account as instructed on this form, on a trustee-to-trustee basis, to the appropriate successor custodian/trustee, c/o National Financial Services LLC (NFS). NFS is an agent for FMTC and FPTC.

Successor/Custodian/Trustee's Representative	Signature	Date MM/DD/YYYY
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Provide all pages of the completed Transfer of Assets form and all pages of your most recent statement to your Broker-Dealer.

Primary Account Owner	SSN/TIN	Account #
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1. Brokerage or Trust Company Transfer (Additional Assets.)

Complete to continue the list of assets from Section 3.A, Brokerage or Trust Company Transfer, on the Transfer of Assets form. **These assets will be transferred In Kind.**

Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares or "All"
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares or "All"
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares or "All"
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares or "All"
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares or "All"
Security Name or Symbol	# of Shares or "All"	Security Name or Symbol	# of Shares or "All"

2. Mutual Fund Company Transfer (Additional Assets.)

Complete Section 2 to continue the list of assets from Section 3.B, Mutual Fund Company Transfer, on the Transfer of Assets form.

Fund Name/Symbol and Account Number	# of Shares or "All"	Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"	Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"	Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate	
Fund Name/Symbol and Account Number	# of Shares or "All"	Fund Name/Symbol and Account Number	# of Shares or "All"
<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate	