

Use these instructions to complete the attached Customer Account Transfer Form (F2-R). Please print or type all responses to assist in processing the transfer in the most efficient manner. Attach a complete copy of the client's most recent statement (dated within 90 days) to each transfer form. **Forms will not be processed unless a client statement is attached.**

1.	Fill in the LPL account number (only one per form), the social security/tax ID number as registered at LPL (if delivering firm social security number is incorrect, it must be corrected at delivering firm prior to submittal), and the LPL account registration. Select the appropriate LPL account type. If processing a transfer from one 403(b)(7) contract to a LPL 403(b)(7), a LPL Information Sharing Agreement (FR116) is required. In addition plan administrator and/or employer signatures are required.
2.	Fill in the account number of the account you are transferring to LPL (only one per form): <ul style="list-style-type: none"> • Client number, group ID number, or customer number are not valid account numbers. Fill in the account registration exactly as it appears on the delivering firm statement for the account you are transferring. For non-ACAT transfers only, enter the delivering firm telephone number and street address (no P.O. boxes).
3.	<p>You must select one transfer type on the form. For definitions of ACAT and non-ACAT, see Special Notes section below.</p> <p>Note: LPL is not responsible for market fluctuation on ALL transfer requests.</p> <p>A. Brokerage or Transfer Agent Transfer</p> <ul style="list-style-type: none"> • Transfer all assets in-kind. Select for ACAT or non-ACAT transfers. Certain product types do not allow transfers in-kind and must be funded with cash. • Transfer only part of my account. Only the assets indicated on the form will be transferred. Exact quantities are required (no percentages). Provide all information (CUSIP/Symbol and Number of Shares) for each asset. If transferring more than three assets, attach a client-signed list to the transfer form. Highlighted statements are not acceptable. Assets will be transferred in-kind. • Direct Registration Shares (DRS). For a list of DRS-eligible securities, see the Account Transfers page on the Resource Center. Social security/tax ID number at the transfer agent is required and may differ from that at LPL. • Dividend Reinvestment Plan. If not DRS eligible please instruct Transfer Agent to send certificate. Issue a certificate for whole shares and redeem fractional shares and issue a check. <p>B. Mutual Fund Company Transfer</p> <ul style="list-style-type: none"> • Transfer ALL mutual funds in kind. Indicate in this section if you wish to transfer ALL mutual funds in-kind. If you are transferring mutual funds directly from the fund company, provide all Mutual Fund Names / CUSIP/Symbol. • Liquidate ALL Mutual Funds and transfer as cash. Indicate in this section if you wish to liquidate ALL mutual funds and transfer as cash. LPL is not responsible for the timing or execution of liquidations to be processed by the delivery firm. • Transfer only part of my Mutual Funds. Only the mutual funds indicated on the form will be transferred. Exact quantities are required (no percentages). Provide all information (Mutual Fund Name, CUSIP/Symbol, Number of Shares, In-kind or Liquidate) for each asset. If transferring more than three assets, attach a client-signed and dated list to the transfer form. <p>C. Bank, Credit Union, Trust Company or Annuity Transfer</p> <ul style="list-style-type: none"> • Transfer cash only. Unless otherwise indicated all cash will be transferred. • Liquidate annuity and surrender as cash. Select only one: Liquidate annuity in full or partial liquidation, and amount of annuity without penalty for early liquidation. Contact the insurance company to determine whether surrender forms are required before submitting the transfer form to LPL. Attach surrender form if applicable. LPL is not responsible for the timing or execution of liquidations processed by the delivering firm. • Certificates of deposit (CDs). Indicate in this section whether you wish to liquidate the CD immediately or at maturity. Send liquidation requests to LPL three weeks prior to maturity to allow for proper processing times. To liquidate a CD held in a non-retirement account, complete the Cash Transfer Form (F32) and submit it directly to the bank or credit union at which the assets are being held.
4.	Registration Differences (for non-retirement accounts only): If the registration at the delivering firm is not identical to the registration on the LPL account, complete this section. All parties involved must sign in this section. Note: This is not to be used as a replacement for a 'one and the same' letter or to provide instructions to change or fix the social security/tax ID number or the registration at either the receiving or delivering firm.
5.	All LPL account holders (clients or trustees) as indicated by the account registration must sign this section.

Special Notes

<p>ACAT (Automated Customer Account Transfer). An ACAT is a transfer of all assets, in-kind, from another ACAT-eligible firm. Proprietary funds or non-transferable positions should be liquidated prior to submitting this form for an ACAT. Liquidation requests will NOT be honored for ACAT-eligible transfers. A list of ACAT-eligible firms can be found on the Account Transfers page of the Resource Center.</p> <p>Non-ACAT. A non-ACAT is a transfer of assets from a non-ACAT-eligible firm (i.e. bank, credit union, mutual fund company, annuity/insurance company).</p> <p>Physical securities. Should physical securities be transferred in client name or non-negotiable, you will be required to obtain any additional documentation requested to complete the transfer.</p> <p>Maturity or renewal dates. For any investment instruments that have a renewal deadline, maturity date, surrender charge period/window, etc., paperwork must be received by LPL in good order three weeks prior to the contra firm deadline to allow for proper processing times.</p> <p>Private Trust Company, N.A. retirement accounts. All termination fees charged by the prior custodian should be paid to the prior custodian before the transfer of assets. Please be advised that any private placement or private securities transaction that has not been approved by LPL must go through a separate compliance review process prior to submitting this transfer form.</p>
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Instructions: Attach a complete copy of the client's most recent statement (dated within 90 days) in order for the transfer to be processed. Mail completed original forms with all attachments to LPL Financial LLC, Account Transfers, 9785 Towne Centre Drive, San Diego, CA, 92121.

Receiving Firm Clearing Number

Delivering Firm Clearing Number
LPL HOME OFFICE USE ONLY

Your LPL Account

1. **Account Number (ONLY ONE PER FORM)**

Account Registration

Social Security/Tax ID Number (Primary)

Social Security/Tax ID Number (Secondary if applicable)

Account Type (select one)

<input type="radio"/> Single	<input type="radio"/> Roth IRA
<input type="radio"/> Joint	<input type="radio"/> SEP IRA
<input type="radio"/> Trust	<input type="radio"/> SIMPLE IRA
<input type="radio"/> Corporate/Business	<input type="radio"/> Qualified Plan
<input type="radio"/> UGMA/UTMA	<input type="radio"/> Beneficiary IRA
<input type="radio"/> Estate	<input type="radio"/> Roth Beneficiary IRA
<input type="radio"/> Traditional or Rollover IRA	<input type="radio"/> Other (e.g. HSA): <input type="text"/>
<input type="radio"/> 403(b)7 (See Instructions)	

Account Being Transferred

2. **Account Number (ONLY ONE PER FORM)**

Account Registration

Delivering Firm Name

Delivering Firm Street Address and Phone Number

Account Type (select one)

<input type="radio"/> Single	<input type="radio"/> Roth IRA
<input type="radio"/> Joint	<input type="radio"/> SEP IRA
<input type="radio"/> Trust	<input type="radio"/> SIMPLE IRA
<input type="radio"/> Corporate/Business	<input type="radio"/> Qualified Plan
<input type="radio"/> UGMA/UTMA	<input type="radio"/> Beneficiary IRA
<input type="radio"/> Estate	<input type="radio"/> Roth Beneficiary IRA
<input type="radio"/> Traditional or Rollover IRA	<input type="radio"/> Other (e.g. HSA): <input type="text"/>
<input type="radio"/> 403(b)7	

Transfer Instructions (You must complete one of the sections A, B, or C below)

Attach a separate sheet (client signed) if you have additional assets to transfer.

* LPL is not responsible for market fluctuation on ALL transfer requests.

<p>3. A. Brokerage or Transfer Agent Transfer</p> <p>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.</p> <p><input type="radio"/> Transfer ALL assets in kind</p> <p><input type="radio"/> Transfer only part of my account in kind, as detailed below:</p> <table border="0" style="width:100%;"> <tr> <td style="width:50%;">CUSIP/Symbol</td> <td style="width:50%;">Number of Shares or "All"</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </table> <p><input type="radio"/> Direct Registration Shares</p> <p>Number of Shares or "All" <input type="text"/></p> <p><input type="radio"/> Sell Fractions and Close Account</p> <p><input type="radio"/> Dividend Reinvestment Plan If not DRS eligible please instruct Transfer Agent to send certificate. Issue a certificate for whole shares and redeem fractional shares and issue a check.</p>	CUSIP/Symbol	Number of Shares or "All"	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<p>B. Mutual Fund Company Transfer</p> <p><input type="radio"/> Transfer ALL mutual funds in kind</p> <p><input type="radio"/> Liquidate ALL mutual funds and transfer as Cash</p> <p><input type="radio"/> Transfer only part of my funds as detailed below:</p> <p>1. Mutual Fund Name <input type="text"/></p> <table border="0" style="width:100%;"> <tr> <td style="width:50%;">CUSIP/Symbol</td> <td style="width:50%;">Number of Shares or "All"</td> <td style="width:10%;"><input type="radio"/> In Kind</td> <td style="width:10%;"><input type="radio"/> Liquidate</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td></td> <td></td> </tr> </table> <p>2. Mutual Fund Name <input type="text"/></p> <table border="0" style="width:100%;"> <tr> <td style="width:50%;">CUSIP/Symbol</td> <td style="width:50%;">Number of Shares or "All"</td> <td style="width:10%;"><input type="radio"/> In Kind</td> <td style="width:10%;"><input type="radio"/> Liquidate</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td></td> <td></td> </tr> </table> <p>3. Mutual Fund Name <input type="text"/></p> <table border="0" style="width:100%;"> <tr> <td style="width:50%;">CUSIP/Symbol</td> <td style="width:50%;">Number of Shares or "All"</td> <td style="width:10%;"><input type="radio"/> In Kind</td> <td style="width:10%;"><input type="radio"/> Liquidate</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td></td> <td></td> </tr> </table> <p>For mutual fund transfers, dividend and capital gain options are defaulted to reinvest.</p>	CUSIP/Symbol	Number of Shares or "All"	<input type="radio"/> In Kind	<input type="radio"/> Liquidate	<input type="text"/>	<input type="text"/>			CUSIP/Symbol	Number of Shares or "All"	<input type="radio"/> In Kind	<input type="radio"/> Liquidate	<input type="text"/>	<input type="text"/>			CUSIP/Symbol	Number of Shares or "All"	<input type="radio"/> In Kind	<input type="radio"/> Liquidate	<input type="text"/>	<input type="text"/>			<p>C. Bank, Credit Union, Trust Company or Annuity Transfer</p> <p><input type="radio"/> Transfer ALL assets in kind</p> <p><input type="radio"/> Liquidate ALL assets and transfer as cash</p> <p><input type="radio"/> Transfer cash only. All cash will be transferred unless you indicate a different amount to transfer here: \$ <input type="text"/></p> <p>To liquidate an Annuity or CD complete section(s) below</p> <p><input type="radio"/> Liquidate Annuity in FULL and send cash. I understand that I may incur a penalty for early liquidation.</p> <p><input type="radio"/> Partial Annuity Liquidation Liquidate \$ <input type="text"/> or</p> <p><input type="radio"/> Only the amount of annuity available without a penalty</p> <p><input type="radio"/> Lost Policy</p> <p><input type="radio"/> Policy Attached</p> <p><input type="radio"/> Liquidate CD immediately and send cash (Retirement plans only. For retail accounts use Cash Transfer Form F32-R)</p> <p><input type="radio"/> Liquidate CD at maturity and send cash.¹ Maturity date is: <input type="text"/></p>
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¹ Must be submitted three weeks prior to maturity date, but no more than 60 days.

Registration Differences (for non-retirement accounts only)

4. Complete this Section if applicable. If the LPL account registration and delivering account registration are not identical. **Please note:** This is not to be used as a replacement for a 'one and the same' letter or to provide instructions to change or fix the social security/tax ID number or the registration at either the receiving or delivering firm.

Please accept this letter as authorization to transfer account number _____ with the account title of _____
Delivering Account Number

_____ and the social security/tax ID number of _____
Delivering Account Title or Registration Delivering Account Social Security/Tax ID Number

at _____ into account number _____ with the account title of _____
Name of Delivering Firm LPL Account Number

_____ and the social security/tax ID number of _____
LPL Account Title or Registration LPL Account Social Security/Tax ID Number

at LPL Financial LLC.

By signing this letter of authorization, I/we hereby agree to indemnify and hold harmless your firm and their successors and assigns from and against any losses, claims, liabilities, damages, actions, charges, and expenses, including attorney fees, resulting from your compliance with this request.

All parties involved must authorize the transfer/acceptance of assets from unlike accounts.

Client Signature	Client Name (print)	Date
Client Signature	Client Name (print)	Date
Client Signature	Client Name (print)	Date

Client Authorization (All Clients MUST read, sign, and date)

5. To the delivering firm named above:

I/We have established the appropriate account with LPL Financial LLC to receive the transferring assets and in so doing have designated the successor custodian or plan trustee as shown below. Unless otherwise indicated in the instructions above, please transfer all assets in my/our account to LPL Financial LLC without penalties; such assets may not be transferred within the time frames required by NYSE Rule 412 or similar rule of FINRA or other designated examining authority. Unless otherwise indicated in the instructions above, I/we authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my/our account and transfer the resulting credit balance to the LPL account. I/We authorize you to deduct any outstanding fees due you from the credit balance in my/our account. If my/our 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/we authorize you to liquidate the assets in my/our account to the extent necessary to satisfy that obligation. I/we understand that I/we may incur a penalty for early liquidation. If certificates or other instruments in my/our account are in your physical possession, I/we instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor IRA, 403(b)7 custodian, or qualified plan trustee to transfer them in its name for the purpose of the sale, when and as directed by me/us. I/We understand that upon receiving a copy of this transfer information, you will cancel all open orders for my/our account on your books. I/We affirm that I/we have destroyed or returned to you credit/debit cards and/or unused checks issued to me/us in connection with my/our securities account. I/We understand that you will contact me/us with respect to the disposition of any assets in my/our securities account that are non-transferable. For qualified retirement plans or retirement accounts whereby Private Trust Company, N.A. is not accepting appointment as Successor Custodian, I/we, the Trustee/Successor Custodian(s) indicated below, accept appointment as Trustee/Successor Custodian(s).

Client/Trustee Signature	Date
Joint Client/Trustee Signature	Date
Joint Client/Trustee Signature	Date

Signature Guarantee / Medallion Stamp

LPL HOME OFFICE USE ONLY

LPL HOME OFFICE USE ONLY

To the prior trustee:

The Private Trust Company, N.A. accepts the appointment as Successor Custodian on behalf of LPL.

 Successor Custodian Signature