

Journal Request (Non-Retirement)

Instructions: Use this form for a journal of securities and/or cash from one LPL Financial non-retirement account to another. **Do NOT use this form for journals to or from LPL Financial retirement accounts or transfers of assets to or from any external institution.** Fax the completed form to Journal Processing, (858) 202-8215.

1.	Journal From: Account Number (Delivering A/C) Account Registration <input style="width: 200px; height: 20px;" type="text"/> <input style="width: 400px; height: 20px;" type="text"/>	Rep ID/ Associated Person ID <input style="width: 100%; height: 20px;" type="text"/>
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2.	Journal To: In consideration of the acceptance by you, please transfer the securities and/or monies listed below/attached into the name of, or credit to the account of: Account Number (Receiving A/C) Account Registration <input style="width: 200px; height: 20px;" type="text"/> <input style="width: 400px; height: 20px;" type="text"/>	Rep ID/ Associated Person ID <input style="width: 100%; height: 20px;" type="text"/>
*NOTE- If requesting journal to multiple receiving accounts put MULTIPLE in Account number box and attach Addendum A		

3.	Relationship to 'From' Account Owner(s) <input style="width: 90%; height: 20px;" type="text"/> Required Cost Basis Indicator (select one): [reference Resource Center / Operations / Security Management / Cost Basis / Cost Basis FAQ-IRS Legislation] <input type="radio"/> Gift (Carries existing basis and gift date FMV) <input type="radio"/> Common Owner (Carries existing basis) <input type="radio"/> Death Distribution (Certificate of Death Required; Tax lot selection not available) (Steps up Cost Basis) Please Note: Important Information <ul style="list-style-type: none"> Only cash and/or Optimum Funds can be journaled into Optimum Market Portfolio accounts. Mutual Funds are not eligible to be journaled into Manager Select, Manager Access Select, or Manager Access Network accounts. Journals out of Collateral accounts require a release letter on bank letterhead signed by an officer of the bank as well as a corporate resolution validating the officer. Only Cash can be journaled to outside investment accounts. Outside investments (Level 4 Mutual Funds, Annuities or Alternative Investments) are not eligible to be journaled using this form. The Money Market Sweep will be deactivated on delivering account when All Assets/Entire Account (ADVISOR WILL CLOSE ACCOUNT) is selected in section 5. Upon deposit of additional funds in the account, please contact your financial advisor to reactivate the ICA program cash sweep function. Residual Journals may be requested through the Cash and Journal Utility. In some cases residuals may be swept to receiving account(s) by Operations.
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4.	Please select one of the following options and complete the corresponding section. <input type="radio"/> One Time Request <input type="radio"/> Standing Authorization <input type="radio"/> Periodic Authorization
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One Time Request

5.	I do hereby relinquish all right, title, and interest thereto (select one): <input type="radio"/> All Assets/Entire Account (ADVISOR WILL CLOSE ACCOUNT via Change Account function on BranchNet) <input type="radio"/> All Assets/Entire Account (ADVISOR WILL NOT CLOSE ACCOUNT) Please note: Advisory accounts valued at an amount below the program minimum are subject to being closed. <input type="radio"/> All Securities <input type="radio"/> All Available Monies <input type="radio"/> Specific Dollar Amount \$ <input style="width: 150px; height: 20px;" type="text"/> <input type="radio"/> Specific Securities (attach Addendum A to list specific securities) <input type="radio"/> Assets to Multiple Receiving Accounts (attach Addendum A) Section must be completed for Optimum Market Portfolio Accounts when All Assets/Entire Account is requested (select one) <input type="radio"/> OMP funds are to be moved In-Kind to receiving account <input type="radio"/> OMP Funds are to be liquidated prior to journal (not available on deceased accounts)
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6. Section must be completed for all journals out of custodial (UTMA/UGMA) accounts (select one)
Note: Journals between accounts for different minors are not permitted.

Minor has reached age of majority per state guidelines (copy of birth certificate required)

Funds are being withdrawn for the benefit of the minor (fill in Letter Below)

"I, _____, custodian of UGMA/UTMA account FBO (minor's name) _____, hereby affirm that the assets to be withdrawn from this account are intended to be used for the benefit of (minor's name) _____."

Standing Authorization (to be used for on demand journals submitted through BranchNet as needed)

7. After LPL Financial has received this form, you must submit a separate journal request via the Cash and Journal Utility on BranchNet or the Journal Request (Non-Retirement) form (F38-R) in order for a journal of monies and/or securities to take place. By signing this form I understand that I am giving my financial advisor authorization to move the above noted monies or securities from the above indicated 'from' account to the above indicated 'to' account without additional written authority on my part. This authorization and indemnity will remain in full force and effect for one calendar year or until revoked by me by written notice addressed and delivered to LPL Financial. Such revocation shall not affect any liability in any way resulting from transactions initiated prior to such revocation. A new form must be executed and submitted to LPL Financial on an annual basis. I hereby finally and irrevocably release and discharge LPL Financial of any claims by me or my legal representatives with reference to the foregoing, including the proceeds of the sale or other disposition thereof.

I do hereby relinquish all right, title, and interest thereto (select all that apply):

Any Dollar Amount (cash only)

Specific Dollar Amount \$

Securities (not valid unless specific securities are listed on attached addendum A)

Periodic Authorization (to be used for systematic journal set up)

8. These instructions are: New Instructions Update to Existing Instructions

Frequency of Distributions (select one):

Weekly Semi-Monthly Monthly Quarterly Semi-Annually Annually

First Distribution Date **Last Distribution Date** (if applicable)

Amount*
 \$ **OR select from the following for income distributions only**** (check all that apply) :

Dividends Interest Capital Gains Partnership Distributions Redemptions Principal Payments

* Subject to maximum annual gift tax exclusive amount
 * Movements out of collateral or custodial accounts may not be honored
 **ICA interest is not available for income distributions.
 ** Periodic journals out of Optimum Market Portfolio accounts must be a minimum of \$500, must have a distribution date of the 1st or 15th day of month and are only available as Monthly or Quarterly frequency.

9. All parties on the 'from' account must sign below.

I hereby finally and irrevocably release and discharge you of any claims by me or my legal representatives with reference to the foregoing, including the proceeds of the sale or other disposition. I/We authorize LPL Financial to initiate credit or debit entries and adjustments as necessary to such accounts indicated above. I acknowledge receiving a copy of this agreement.

 Client Signature Client Name (print) Date

 Client Signature Client Name (print) Date

 Client Signature Client Name (print) Date

Validation of Client Signature

My customer(s) is/are well known to me, and I validate that the signature(s) on the attached document(s) is/are genuine. I agree for myself, my successors, assigns, heirs, executors, and administrators to at all times indemnify and hold harmless LPL Financial LLC (LPL) and all LPL Financial staff and third party providers, acting as authorized agents of LPL Financial, from and against any and all claims, losses, liabilities, taxes, damages, actions, charges, and expenses, including attorney fees, resulting from your compliance with this request. LPL Financial reserves the right to verify the authenticity of any signature.

 Financial Advisor Signature Financial Advisor Name (print) Date

