

Use these instructions to complete the attached Customer Account Transfer Form (F2). 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.**

**DO NOT SEND THIS PAGE TO LPL**

<b>1.</b>	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 prior to submittal), the registered representative's ID number, and the LPL account title. 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.
<b>2.</b>	<p>Fill in the account number of the account you are transferring to LPL (only one per form):</p> <ul style="list-style-type: none"> <li>• Client number, group ID number, or customer number are not valid account numbers.</li> <li>• If multiple fund numbers are related to one account number, you must list all fund numbers.</li> </ul> <p>Fill in the account title 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, contact name, and street address (no P.O. boxes).</p>
<b>3.</b>	<p>You must select one transfer type on the form. For definitions of ACAT and non-ACAT, see Special Notes section below.</p> <ul style="list-style-type: none"> <li>• <b>Transfer all assets in-kind.</b> Select for ACAT or non-ACAT transfers. Certain product types do not allow transfers in-kind and must be funded with cash.</li> <li>• <b>Liquidate all assets and transfer as cash. This is NOT an option for ACAT-eligible transfers.</b> To liquidate assets on an ACAT-eligible account, client MUST contact their broker PRIOR to submitting the transfer form to LPL. LPL is not responsible for the timing or execution of liquidations to be processed by the delivering firm. To liquidate an annuity, complete annuity section.</li> <li>• <b>Partial transfer.</b> Only the assets indicated on the form will be transferred. Exact quantities are required (no percentages). Provide all information (Quantity, Liquidate, Cusip/Symbol, Fund Account Number, Asset Description) for each asset. If transferring more than four assets, attach a client-signed list to the transfer form. Highlighted statements are not acceptable. <b>Assets will be transferred in-kind unless you mark "Liquidate." "Liquidate" is NOT an option for ACAT-eligible transfers.</b></li> <li>• <b>Direct Registration Shares (DRS).</b> 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. Specific whole share amount is also required. <b>Only whole shares may be transferred.</b> Please do not round fractional shares up when providing the whole share amount. The financial advisor or client must contact the delivering firm to redeem any fractional shares or to change plans established with dividend reinvestment.</li> <li>• <b>Dividend Reinvestment Plan.</b> Select this option if the stock position held at the transfer agent is being held in a dividend reinvestment plan. See client statement to verify.</li> <li>• <b>Liquidate annuity and surrender as cash.</b> Select only one from Full Surrender, Partial Surrender, and Maximum penalty-free amount allowed on partial annuity surrender. Select only one from Lost Policy and Policy Attached. 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.</li> <li>• <b>Certificates of deposit (CDs).</b> Indicate in this section whether you wish to liquidate the CD immediately or at maturity. Send liquidation requests to LPL two 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.</li> </ul>
<b>4.</b>	<p><b>Letter of authorization (for non-retirement accounts only):</b> If the registration at the delivering firm is not identical to the registration on the LPL account, complete this section. All parties on delivering firm registration must sign in this section. <b>Please note:</b> 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.</p>
<b>5.</b>	<p><b>All LPL account holders (clients or trustees) as indicated by the account registration must sign this section.</b></p>

## Special Notes

<p><b>ACAT (Automated Customer Account Transfer).</b> 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. <b>Liquidation requests will NOT be honored for ACAT-eligible transfers.</b> A list of ACAT-eligible firms can be found on the Account Transfers page of the Resource Center.</p> <p><b>Non-ACAT.</b> 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><b>Physical securities.</b> 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><b>Maturity or renewal dates.</b> 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 two weeks prior to the contra firm deadline to allow for proper processing times.</p> <p><b>Private Trust Company, N.A. retirement accounts.</b> 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 review process before the transfer can occur.</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 Corporation, Account Transfers, 9785 Towne Centre Drive, San Diego, CA, 92121.

**Mark here if attaching legal/supporting documents other than a copy of the client's most recent statement. Please include the LPL account number on each document.**

Receiving Firm Clearing Number  Delivering Firm Clearing Number

**1.** LPL Account Number (ONLY ONE PER FORM)  Social Security/Tax ID Number  Rep ID   
 LPL Account Title   
**Registration at LPL**  
 Single  Corporate  IRA  SIMPLE IRA  403(b)(7)<sup>1</sup>  
 Joint  Estate  Roth IRA  Coverdell ESA  Qualified Plan  
 Trust  Custodian  SEP IRA  Rollover/Conduit IRA  Other   
<sup>1</sup> Must include completed LPL Information Sharing Agreement - 403(b)(7) (FR116)

**2.** Delivering Firm Account Number (ONLY ONE PER FORM)  Delivering Firm Name   
 Delivering Firm Account Title (as it appears on the attached statement)   
 Delivering Firm Telephone Number / Contact Name (for non-ACATs only)   
 Physical Address (no P.O. Box) (for non-ACATs only)

**3.** You must select one of the following:

**Transfer all assets in-kind.**<sup>2</sup> Ineligible proprietary mutual funds and all no-load money market funds cannot be transferred in-kind. Certain product types do not allow in-kind transfers and must be funded with cash.

**Liquidate all assets and transfer as cash. "Liquidate" is NOT an option for ACAT-eligible transfers (see instructions page).** To liquidate an annuity, complete annuity section below.

**Partial transfer.**<sup>2</sup> Only the assets indicated below will be transferred. If transferring more than three assets, attach a client-signed list to this form (highlighted statements are not acceptable). Exact quantities are required (no percentages). Assets will be transferred in-kind unless you mark "Liquidate." **"Liquidate" is NOT an option for ACAT-eligible transfers (see instructions page).**

QUANTITY (NO %)		CUSIP/SYMBOL	FUND ACCOUNT NUMBER	ASSET DESCRIPTION
<input type="text"/>	<input type="radio"/> Liquidate	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="radio"/> Liquidate	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="radio"/> Liquidate	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Direct Registration Shares.** You must contact the transfer agent to obtain the following information.  
 # OF WHOLE SHARES  SOCIAL SECURITY / TAX ID NUMBER AT TRANSFER AGENT

**Dividend Reinvestment Plan. Delivering firm:** Issue a certificate for all whole shares and redeem fractional shares and issue a check.

**Liquidate annuity and surrender as cash. Delivering firm:** The assets to be surrendered will be deposited into a non-annuity brokerage account. State replacement forms are not required. If the original policy has been lost, use this form as an affidavit of lost policy.

Select only one:

Full Surrender  Lost Policy  
 Partial Surrender \$   Policy Attached  
 Maximum penalty-free amount allowed on partial annuity surrender Attach surrender form if applicable.

**Certificates of deposit (CDs). (Retirement plans only. For retail accounts, use the Cash Transfer Form (F32).)**  
 Select only one:  
 **Liquidate CDs in my retirement plan immediately. I am aware of the penalty I may incur from my early withdrawal.**  
 **At maturity, forward proceeds of my CDs from my retirement plan.**  
 Maturity Date  (must be submitted two weeks prior to maturity)

<sup>2</sup> For mutual fund transfers, dividend and capital gain options are defaulted to reinvest.

**4. Letter of Authorization (for non-retirement accounts only):** If the receiving account title and delivering account titles are not identical, complete this section. **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  
\_\_\_\_\_ 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  
Name of Delivering Firm LPL Account Number  
title of \_\_\_\_\_ and the social security/tax ID number of \_\_\_\_\_  
LPL Account Title or Registration LPL Account Social Security/Tax ID Number  
at LPL Financial Corporation

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 Signature	Client Name (print)	Date

**LPL Client Authorization**

**5. To the delivering firm named above:**  
I/We have established the appropriate account with LPL Financial Corporation 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 Corporation without penalties; such assets may not be transferred within the time frames required by NYSE Rule 412 or similar rule of the 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. 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**

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**To the prior trustee:**

The Private Trust Company, N.A. accepts the appointment as Successor Custodian.

\_\_\_\_\_  
Successor Custodian Signature