

TRANSFER AUTHORIZATION FORM

ASSET CUSTODY SERVICES



Trust Company Account Number _____

SECTION 1: Receiving Trust Company of America Account Information

Account Title at Trust Company of America
Tax Identification/Social Security Number
<u>Account Type at Receiving Firm (Select One)</u> <input type="checkbox"/> Traditional, Rollover, or SEP IRA <input type="checkbox"/> Roth IRA <input type="checkbox"/> Beneficiary IRA <input type="checkbox"/> Beneficiary Roth IRA <input type="checkbox"/> Qualified Plan (list type of account) _____

SECTION 2: Account To Be Transferred

Delivering Firm Name	Delivering Firm Account Number
Delivering Firm Address and Phone	
Account Title at Delivering Firm	
<u>Account Type at Delivering Firm (Select One)</u> <input type="checkbox"/> Traditional, Rollover, or SEP IRA <input type="checkbox"/> Roth IRA <input type="checkbox"/> Beneficiary IRA <input type="checkbox"/> Beneficiary Roth IRA <input type="checkbox"/> Qualified Plan (list type of account) _____	
<p>If you are requesting to transfer an account that does not exactly match your Trust Company of America account (account name[s] and/or type or registration change), the following box must be checked to indicate that all authorized parties on the existing and new account have authorized the transfer and registration change. Also, all authorized parties on the account to be transferred and the receiving TCA account are required to sign in section 5. <i>Note: Such transfers may have consequences resulting in changes of ownership and/or taxable events. Consult your legal or tax advisor regarding your situation.</i></p> <input type="checkbox"/> All authorized parties on the existing and new account have authorized the transfer and registration change.	

SECTION 3: General Terms/Agreement of Your Account Transfer

Please include a copy of your account statement dated within 90 days of today's date. Failure to do so may delay your transfer request.

Unless otherwise indicated in the instructions below, please transfer all assets in-kind to Trust Company of America without penalties. I understand that to the extent any assets in my account are not readily transferable; such assets may not be transferred within the time frames required by rules of the Financial Industry Regulatory Authority or other designated examining authority. I authorize a partial transfer of all eligible assets be processed in the event that one or more of the assets requested to be transferred is deemed ineligible for custody at TCA.

Unless otherwise indicated in the instructions below, I authorize you to liquidate any non-transferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to TCA. I authorize you to deduct any outstanding fees due 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 you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy the obligation. If certificates or other instruments in my account are in physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable TCA to transfer them in its name for the purpose of sale, when and as directed by me. I understand that upon receiving a copy of this transfer instruction, you will cancel all open orders for my account on your books. I understand that I will be contacted with respect to the disposition of any assets in my account that are non-transferable.

Note: Mutual Fund dividend and capital gains options will automatically reinvest if eligible.



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SECTION 4: Full or Partial Transfer Instructions

In accordance with applicable regulatory requirements, all eligible transfers will be completed through the automated transfer system. If this transfer is deemed eligible, the assets in this account will transfer in-kind. If this transfer is deemed ineligible, the account will be manually transferred from the appropriate financial institution or broker-dealer per the instructions below. **If a transfer type is not selected, the default will be a full transfer of all assets in-kind.** Please indicate the appropriate transfer options to be utilized if this account needs to be manually transferred:

TRANSFER TYPE (please select one partial or full transfer option)

Partial Transfer

- Partial cash transfer only – indicate amount below
- Partial in-kind transfer – indicate assets and share amounts below (Statement Required)
- Partial liquidation - liquidate assets and share amounts indicated below and then send proceeds

Full Transfer

- Transfer all assets in-kind (Statement required)
- Liquidate all assets and send proceeds
- Liquidate assets and share amounts indicated below and then transfer all remaining assets in-kind
- Full cash transfer

CASH and or ASSET INSTRUCTIONS (please mark all that apply)

Send funds to Trust Company of America via Check Wire (If check or wire is not selected, the delivery method will default to wire.)

If CDs/annuities are to be liquidated, please do so IMMEDIATELY Upon Maturity

(If upon maturity is selected please provide maturity dates below. I am aware of and acknowledge the penalty that I will incur from early withdrawal.)

Indicate assets, share amounts and/or maturity dates below: A list of additional assets has been attached to this transfer form.

Description of Asset	Quantity (Indicate # of shares or all)	Type of Transfer (Select one)
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate Immediately <input type="checkbox"/> Liquidate on Maturity Date of ___/___/___
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate Immediately <input type="checkbox"/> Liquidate on Maturity Date of ___/___/___
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate Immediately <input type="checkbox"/> Liquidate on Maturity Date of ___/___/___

SECTION 5: Signature(s) – Client Is Required To Sign

Client Signature

Date

Medallion Signature Guarantee is required.

Client's Printed Name

SECTION 6: Special Notice for Retirement Account Transfer

Required Minimum Distribution Notice: I understand that if this transfer is occurring during or after the calendar year during which I attain the age of 70½, or if I am a beneficiary who is subject to a required minimum distribution ("RMD"), the required minimum amount determined under this Custodial Retirement Account is still required to be distributed. I further understand that the current Trustee/Custodian is not responsible for making this distribution prior to the transfer. I accept full responsibility for satisfying the RMD applicable to this Custodial Retirement Account by withdrawing sufficient amounts prior to the deadline for receiving minimum distributions for the calendar year of the transfer.

If this transfer leaves the transferor account in one year but does not reach my TCA Custodial Retirement Account until the following year, I understand that this will be an "outstanding transfer" as of December 31st. TCA, as Custodian, must "deem" that the transfer was received as of the prior December 31st for determining any RMD from the TCA Custodial Retirement Account for the year that the transfer was received. I will inform TCA of any such outstanding transfer.

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SECTION 7: Successor Custodian Acceptance

To the prior Trustee/Custodian: Trust Company of America agrees to serve as the successor Custodian for the account of the above-named client, and as Custodian, we agree to accept the transfer of assets to this account. Please be advised that the new account name will read **Trust Company of America FBO the above-named client. Custodian Tax ID #84-6179736.**

<p>Successor Custodian Authorized Signature: _____</p> <p>Date _____</p>	<p>Medallion Signature Guarantee is required.</p>
<p>Printed Name from Signature Above: _____</p>	

SECTION 8: Delivery Instructions

Make Checks Payable to:

Trust Company of America FBO (Client's Full Name)
(Trust Company Account Number)
P.O. Box 6580
Englewood, CO 80155-6580

Wiring Instructions:

JP Morgan Chase Bank
ABA# (or Routing #) 021000021
Account #: 193526306
FCC: Client Name: _____
Client Account #: _____

Overnight Delivery Address:

Trust Company of America FBO (Client's Full Name)
(Trust Company Account Number)
7103 South Revere Parkway
Centennial, CO 80112

Non-ACAT DTC Eligible Securities:

DTC Participant #: 5981 Trust Company of America
FCC: Client Name: _____
Client Account #: _____

Book Entry Government Securities via Federal Wire:

JPMORGAN Chase NYC/CUST
Account #: **P23000**
ABA #: 021000021
For Further Credit to: FBO (Client's Full Name)
(Trust Company Account Number)

In-kind re-registrations to:

Trust Company of America FBO (Client's Full Name)
(Trust Company Account Number)
P.O. Box 6580
Englewood, CO 80155-6580

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General Instructions

Use these instructions to complete the Transfer Authorization Request form.

Print or type all entries. Print clearly in all CAPITAL LETTERS to complete this form.

Purpose of this form: This form is required to transfer cash or securities from an account in your name at another custodian or trustee to an account in your name at Trust Company of America (TCA).

Important:

- A separate Transfer Authorization Request form is required for each account you are transferring.
- It may take several weeks to complete an account transfer. Delays can result from incomplete transfer paperwork, failure to provide a current custodian statement dated within the last 90 days, type of securities being transferred, and the requirements of the institutions facilitating the transfer.
- Non-traditional assets may require additional documentation.
- Reregistration of annuities may require additional documentation.

Note: Access to assets may be unavailable during the transfer process, resulting in your inability to trade, liquidate, or meet cash needs.

Transfer fees. There may be fees associated with your transfer instructions from the delivering firm, including but not limited to account transfer, termination and surrender fees, redemption and early withdrawal fees, mutual fund charges, wire and check fees.

Section 1: Receiving Trust Company of America Account

Enter the complete information for the receiving TCA account. *Note: If the receiving account is a new TCA account, include this form with your new account application.*

Section 2: Account To Be Transferred Enter the information for the account being transferred from your current custodian or trustee. Be sure to insert the qualified plan type if the account being transferred to TCA is from a qualified plan.

Additional Documentation Requirements: Contact your current custodian, trustee, or employer to determine if additional documentation is required when transferring assets between different account types or for transfers resulting in a change of ownership.

Section 3: General Terms/Agreement of Your Account Transfer

This section outlines many details in regard to the transfer process and account owner responsibilities.

Important:

- Attach a copy of your most recent account statement from your current custodian or trustee dated within 90 days listing all CUSIPs and/or symbols and share amounts. The more recent the statement, the less likely there are to be delays in processing.
- In addition to a statement dated within 90 days, a current screen print of asset holdings should be included.
- To expedite the processing of cash transfers, ensure all assets are liquidated prior to submitting the Transfer Request form to TCA.
- Not all types of assets are transferable to TCA. Additional fees will be incurred for the registration and maintenance on non-traditional assets. Contact Customer Service for additional information.

Note: Unless otherwise indicated in Section 4, a transfer request will be processed as a full transfer in-kind of all assets.

Section 4: Full or Partial Transfer

Complete this section for full or partial transfers. If a transfer type is not selected, the default will be a full transfer of all assets in-kind.

- Select one transfer type.
 - Select all applicable asset instructions.
- If check or wire is not selected, the delivery method will default to wire.

Liquidation warning:

- Contact your current custodian or financial institution for information regarding their liquidation requirements.
- You will need to cancel dividend reinvestment options.
- Liquidate all applicable assets at the delivering firm prior to submitting the Transfer Request form to TCA.
- Any assets not liquidated will be transferred in-kind.
- A partial transfer will be processed in the event a full transfer is requested and one or more of the assets are deemed ineligible for custody at TCA. Contact Customer Service for additional information.

Section 5: Signature

Review the terms and conditions and sign and date the form.

Section 6: Special Notice for Retirement Account Transfer

Please read the Required Minimum Distribution Notice.

Section 7: Successor Custodian Acceptance

This section is for TCA use only.

Section 8: Delivery Instructions

This section provides delivery instructions for the delivering firm.

Return your completed form to TCA. Questions regarding this form should be directed to Customer Service at 1-800-223-4133 Option 2.

- End of Form -