TD AMERITRADE

Account Transfer Form

PO Box 2760 ▪ Omaha, NE 68103-2760
Fax: 816-243-3769

Account Transfer Form Instructions

The Account Transfer Form is used to transfer assets from another brokerage to your TD AMERITRADE account.* If you wish to transfer assets between existing accounts at the same firm, please use the Internal Transfer Form. Note: Trading on an account will slow down the transfer process. This form can be completed online at **www.tdameritrade.com**. This form can be mailed to PO Box 2760, Omaha, NE 68103-2760, or faxed to **816-243-3769**. *(Note: Some delivering firms require original signatures on the Account Transfer Form. To avoid delays, please contact the delivering firm before faxing the Account Transfer Form.)*

If you have questions, or need additional forms, please visit our Web site at **www.tdameritrade.com** or call us at **800-669-3900**.

***If transfer request involves a 403(b) to 403(b) transfer, please utilize the 403(b) Transfer Form.**

PLEASE REVIEW THESE GUIDELINES TO MAKE SURE YOUR TRANSFER CAN BE PROCESSED

To protect our clients, it is TD AMERITRADE's policy to act only on transfer requests where the name(s)/title on the account being transferred matches the name(s)/title on the receiving TD AMERITRADE account. ***(Note: Once your transfer is complete, you may add or remove account owners on your TD AMERITRADE account, or establish other TD AMERITRADE accounts without like titles to transfer between, internally.)***

1. PLEASE PROVIDE INFORMATION ABOUT YOUR TD AMERITRADE ACCOUNT

The registration of the account being transferred must match your TD AMERITRADE account (e.g., IRA to IRA). If the registrations do not match, establish a new account online at **www.tdameritrade.com** or include the appropriate application with this request.

Account Number:	Primary Phone: __ __ __–__ __ __–__ __ __ __
Account Name(s)/Title as it appears on the TD AMERITRADE account:	
Account Owner's U.S. Social Security Number: *(SSN)* __ __ __–__ __–__ __ __ __	
Account Co-Owner's U.S. Social Security Number: *(SSN)* __ __ __–__ __–__ __ __ __	

2. PLEASE PROVIDE INFORMATION ABOUT THE ACCOUNT TO BE TRANSFERRED

You **must** include a copy of the most recent statement of the account you are transferring with this form. Please refer to it when completing this section.

Account Number:		
Account Name(s)/Title as it appears on your most recent statement:		
Name of firm from which you are transferring your assets:		Phone Number: __ __ __–__ __ __–__ __ __ __
Mailing address of firm from which you are transferring your assets:		
City:	State:	ZIP Code: __ __ __ __ __

Indicate the account type:

☐ Individual
☐ Joint
☐ Uniform Transfers to Minors Act (UTMA)
☐ Uniform Gifts to Minors Act (UGMA)
☐ Coverdell Educational Savings Account
☐ Personal Trust
☐ Qualified Retirement Plan – 401(k), Profit-Sharing Plan, Money Purchase Plan, etc.*

☐ Traditional (Individual Contributory) IRA
☐ Rollover (Non-Contributory) IRA
☐ Roth IRA
☐ SEP IRA
☐ SAR-SEP IRA
☐ SIMPLE IRA

☐ Corporate
☐ Limited Liability Company
☐ Investment Club
☐ Partnership
☐ Sole Proprietorship
☐ Estate
☐ Other: ________________________

***If transfer request involves a 403(b) to 403(b) transfer, please utilize the 403(b) Transfer Form.**

3. PLEASE TELL US WHICH ASSETS TO TRANSFER

Note: Foreign securities and nonstandard assets, such as limited partnerships and private placements, may be charged additional fees, including a holding fee.

A. Brokerage Firm Transfer

☐ **This is a total transfer from a brokerage account.** *(Note: if you select total transfer, skip to Section 4.)*

☐ **This is a partial transfer** – only transfer the assets listed below: *(If transferring cash, please specify dollar amount.)*
Cash $ _______________

Asset Description and/or Stock Symbol	Number of Shares	Asset Description and/or Stock Symbol	Number of Shares

Additional assets can be requested by attaching an additional list of positions, including stock symbol and number of shares to be transferred.

B. Transfer from a Mutual Fund Company

• You may choose to either **transfer shares** or **liquidate to cash.**

Fund Company Name:

Account Number/Fund Number: | Fund Name:

Transfer *(check one):* ☐ All shares ☐ Only ___________ shares
Instructions for transferred dividends/capital gains: ☐ Reinvest ☐ Pay in cash
OR
Liquidate *(check one):* ☐ All shares ☐ Only this cash value: $ _______________

Account Number/Fund Number: | Fund Name:

Transfer *(check one):* ☐ All shares ☐ Only ___________ shares
Instructions for transferred dividends/capital gains: ☐ Reinvest ☐ Pay in cash
OR
Liquidate *(check one):* ☐ All shares ☐ Only this cash value: $ _______________

C. Transfer from Bank, Insurance Company, Other

☐ **Redeem my CD immediately.** *(Please initial)* ________ I am aware of, and acknowledge, that I am responsible for any penalties that I may incur from any early withdrawal.

☐ **Redeem my CD at maturity.** Maturity date: ________ *(Please initial)* ________ Submit request at least 21 days prior to maturity. Please advise your bank not to roll over the CD to a new term.

☐ **Transfer my life insurance policy.** *(Please initial)* ________ I have a life insurance policy that I wish to transfer. Please redeem and terminate the policy on my behalf.

☐ **Transfer my annuity** *(Please initial)* ________ I have an annuity that I wish to transfer. Please redeem and terminate the contract on my behalf.

D. Transfer from a Transfer Agent or Dividend Reinvestment Plan (DRIP)
(Note: please provide the most recent copy of your delivering account statement. All shares must be held in book-entry form prior to initiating the transfer.)

☐ Transfer all of my full shares to my TD AMERITRADE account and liquidate any fractional shares in the account. I understand the cash proceeds of any liquidation will be mailed directly to the address on file for my account.

☐ Transfer all of my full shares to my TD AMERITRADE account and liquidate any fractional shares in the account. I understand the cash proceeds of any liquidation will be mailed directly to the address on file for my account and my account with the delivering firm will be closed.

☐ Transfer all of my full shares to my TD AMERITRADE account. Do not liquidate any fractional shares in the account. I understand that my account with the delivering firm will remain open and that I may continue to accrue shares if I am enrolled in a Dividend Reinvestment Plan (DRIP).

☐ Transfer only the assets listed in Section A above. I understand that my account with the delivering firm will remain open and that I may continue to accrue shares if I am enrolled in a Dividend Reinvestment Plan (DRIP).

4. DISCREPANCIES OF ACCOUNT NAME AND TYPE (OPTIONAL)

If the account that you are transferring is in an individual's name, and your TD AMERITRADE account is a Joint account, then each Joint account owner must sign below. We hereby authorize a transfer from the Individual account in the name of ___________________________ to the Joint account at TD AMERITRADE for _________________________ and _________________________.

Joint Account Owner's Signature:	Date: __ __-__ __-__ __ __ __
Joint Account Owner's Signature:	Date: __ __-__ __-__ __ __ __

5. TRANSFER AGREEMENT

Unless otherwise indicated in the instructions above, please transfer, in kind, all assets in my account to TD AMERITRADE. I understand that to the extent any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by applicable regulations. I understand I will be contacted by the carrying and/or receiving firm with regard to any assets that are nontransferable.

Unless otherwise indicated, I authorize the Transferor to liquidate any nontransferable proprietary money market fund assets that are part of my account and to transfer the resulting credit balance to my account with TD AMERITRADE. I authorize the Transferor to deduct any outstanding fees due to Transferor 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, I authorize Transferor to liquidate assets in my account to the extent necessary to satisfy that obligation. If certificates or other instruments in my account are in your physical possession, I instruct Transferor to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor custodian 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, Transferor will cancel all open orders for my account.

I affirm that I have destroyed or returned to the Transferor all credit/debit cards and/or unused checks issued to me in connection with my account.

If this TD AMERITRADE account is a qualified retirement account, I have amended the applicable plan to designate the successor custodian. Alternatively, if this TD AMERITRADE account is an Individual Retirement Account (IRA), I have adopted an IRA plan so that it names the successor custodian.

All authorized TD AMERITRADE account owners must sign this form.

✗ Account Owner/Trustee's Signature:	Date: __ __-__ __-__ __ __ __
✗ Account Co-Owner/Co-Trustee's Signature:	Date: __ __-__ __-__ __ __ __

For TD AMERITRADE Clearing, Inc. use only
Letter of Acceptance: The undersigned organization agrees to serve as successor custodian for the account of the above-named individual, and as custodian, we agree to accept the assets being transferred.

✗ Successor Custodian's Authorized Signature:	Date: __ __-__ __-__ __ __ __

FREQUENTLY ASKED QUESTIONS ABOUT ACCOUNT TRANSFERS

Q: How long will it take for my account to transfer?
A: Most account transfers are sent via Automated Customer Account Transfer Service (ACATS) and take approximately five to eight business days. Residual balances with the delivering brokerage firm after the transfer is completed will follow in approximately 10 to 20 business days. For questions regarding residual sweeps, please contact the delivering firm directly.

Transfers that cannot be accomplished via ACATS generally take approximately three to six weeks to complete. However, this time frame is dependent upon the delivering firm and may take longer.

Q: What should I expect when transferring a mutual fund account?
A: Some mutual funds, such as proprietary and money market funds, cannot be held at all by brokerage firms. These funds will need to be liquidated prior to transfer. For more information, please contact the delivering firm directly.

Q: Can I transfer non-standard assets?
A: Yes, limited partnerships, private placements and other non-standard assets can be transferred, but will incur additional fees to transfer and hold the assets. Please contact TD AMERITRADE if you have any questions regarding fees.

Q: Can I transfer margin and options accounts?
A: When transferring a margin and/or options account with an existing debit balance and/or options contract, please make sure you have been approved for margin/options trading in your TD AMERITRADE account. Refer to your Margin Handbook or contact TD AMERITRADE to ensure your account meets margin account requirements.

Q: Can I transfer or roll over my IRA?
A: Yes. But please be advised that if this transfer is a direct rollover from your employer's 401(k), profit sharing plan, etc., it is an irrevocable election. In addition, a "transfer" and a "rollover" are not the same thing. A rollover is the result of a distribution from another qualified plan and typically requires paperwork from your plan administrator. A transfer is the result of a direct transfer from one institution to another.

Q: What is an IRA debit balance?
A: Many firms will charge fees to transfer your account, which may result in a debit balance once the transfer is completed. Debit balances must be resolved by either:

- Funding your account with an IRA contribution, which must remain in accordance with IRS rules and contribution limitations; or
- Liquidating assets within your account.

To avoid a debit balance, contact the delivering broker to clear up any fees prior to the account transfer.