



# ACCOUNT TRANSFER FORM

SCOTTRADE ACCOUNT INFORMATION			
Scottrade Account Number		Scottrade Account Title (Name on Account)	
Social Security or Tax ID Number		Joint Account Holder Social Security or Tax ID Number	
INFORMATION ABOUT THE ACCOUNT YOU ARE TRANSFERRING			
Account Number		Account Title as it Appears on Your Most Recent Statement	
Name of Company From Which You Are Transferring			Telephone Number
Mailing Address of Company From Which You Are Transferring			City
State/Province	ZIP/Postal Code	Country	

**PLEASE COMPLETE ONLY ONE OF THE FOLLOWING SECTIONS (A, B, C, OR D):**

**A. BROKERAGE ACCOUNT TRANSFER**

This is a full transfer - **OR** -  This is a partial transfer of only the assets listed below (attach additional pages if necessary)  
 If transferring cash, specify dollar amount \$ \_\_\_\_\_ If transferring debit, specify dollar amount \$ \_\_\_\_\_

Stock symbol and/or CUSIP Number	Number of Whole Shares	Stock symbol and/or CUSIP Number	Number of Whole Shares
1.		5.	
2.		6.	
3.		7.	
4.		8.	

**B. MUTUAL FUND COMPANY TRANSFERS IN KIND / LIQUIDATIONS**

- A separate form is required for each fund company.  
 - You must indicate transfer or liquidation for each fund (money market funds must be liquidated and transferred as cash).  
 - For Transfers In Kind, please mark a dividend/capital gain option (this information will not alter the dividend/capital gain option on assets already held at Scottrade. If dividend/capital gain option is not marked, we will default to reinvest.

Fund Name/Share Class	Fund Account Number	Symbol	CUSIP
<b>Transfer in Kind</b> <input type="checkbox"/> All Shares <input type="checkbox"/> Only _____ shares Dividend/Capital Gain Option <input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash		<b>-OR-</b> <b>Liquidate</b> <input type="checkbox"/> All Shares <input type="checkbox"/> Only _____ shares	
Fund Name/Share Class	Fund Account Number	Symbol	CUSIP
<b>Transfer in Kind</b> <input type="checkbox"/> All Shares <input type="checkbox"/> Only _____ shares Dividend/Capital Gain Option <input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash		<b>-OR-</b> <b>Liquidate</b> <input type="checkbox"/> All Shares <input type="checkbox"/> Only _____ shares	
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Fund Name/Share Class	Fund Account Number	Symbol	CUSIP
<b>Transfer in Kind</b> <input type="checkbox"/> All Shares <input type="checkbox"/> Only _____ shares Dividend/Capital Gain Option <input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash		<b>-OR-</b> <b>Liquidate</b> <input type="checkbox"/> All Shares <input type="checkbox"/> Only _____ shares	



Scottrade clearing #: 0705

Please Continue

**C. BANK OR CREDIT UNION TRANSFER**

- TRANSFER ALL CASH
- TRANSFER PARTIAL CASH: \$ \_\_\_\_\_
- LIQUIDATE CD IMMEDIATELY AND TRANSFER CASH I am aware of and acknowledge any penalty I will incur from an early withdrawal.
- LIQUIDATE CD AT MATURITY AND TRANSFER CASH Submit 2-3 weeks before maturity date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**D. ANNUITY LIQUIDATION (IRA or Qualified Plans only)**

- FULL LIQUIDATION - I am aware there may be a surrender charge. - OR -  PARTIAL LIQUIDATION: \$ \_\_\_\_\_

**DIRECT ROLLOVER FROM A QUALIFIED PLAN (If Applicable)**

DIRECT ROLLOVER Due to the important tax consequences of rolling over funds or property to an IRA, I am aware I should consult a tax professional. I understand the rollover rules and I am eligible to conduct this transaction. No part of this rollover contains required minimum distribution amounts. I assume full responsibility for this rollover transaction and will not hold Scottrade, Inc. or its employees liable for any adverse consequences that may result. By signing this Account Transfer form I hereby irrevocably designate this contribution as a rollover contribution.

**LETTER OF AUTHORIZATION TO TRANSFER (If Applicable)**

**REQUIRED if the account name and/or title you are transferring does not match your Scottrade account title.** I/we hereby authorize the transfer of my/our account being held at the firm listed on page 1 of this form and registered as:

\_\_\_\_\_ Account Title as it appears on your most recent statement

LOA Signatures: **X** \_\_\_\_\_ DATE \_\_\_\_\_  
 (Account holder(s) ACCOUNT HOLDER SIGNATURE  
 must also sign below) **X** \_\_\_\_\_ DATE \_\_\_\_\_  
 JOINT ACCOUNT HOLDER SIGNATURE  
**X** \_\_\_\_\_ DATE \_\_\_\_\_  
 JOINT ACCOUNT HOLDER SIGNATURE

If this account is an Individual Retirement Account, I have amended the applicable plan so it names Scottrade as successor custodian. Unless otherwise indicated in the instructions above, please transfer all assets in my account to Scottrade. I understand that any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the time frame required by NYSE Rule 412 or any similar rule of FINRA or other designated examining authority. Unless otherwise indicated in the instructions above, I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to Scottrade. 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 certificates or other investments in my account are in your physical possession, I instruct you 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 directed by me. I understand that upon delivering a copy of the transfer instructions, I am responsible for canceling all open orders for my account at the delivering firm, with respect to the securities being transferred. I affirm that I have destroyed or returned any credit/debit cards and/or unused checks issued to me in connection with my account at the delivering firm. I understand that by transferring my mutual fund(s) to Scottrade, all future correspondence concerning my mutual fund position(s) must be directed to Scottrade. Furthermore, I acknowledge that while my fund position(s) are being held in street name with Scottrade, I will not be able to have direct communication with the fund company concerning my account. Therefore I authorize you to release any information relevant to this transfer to Scottrade.

**SIGN THIS COMPLETED FORM AND RETURN IT TO YOUR LOCAL SCOTTRADE BRANCH OFFICE WITH A COPY OF YOUR MOST RECENT ACCOUNT STATEMENT.**

**X** \_\_\_\_\_ DATE \_\_\_\_\_  
 ACCOUNT HOLDER SIGNATURE

**X** \_\_\_\_\_ DATE \_\_\_\_\_  
 JOINT ACCOUNT HOLDER SIGNATURE

**X** \_\_\_\_\_ DATE \_\_\_\_\_  
 JOINT ACCOUNT HOLDER SIGNATURE

Medallion Signature Guarantee (For Scottrade Use Only)

Medallion Signature Guarantee (For Scottrade Use Only)

**FOR SCOTTRADE USE ONLY (Corporate Headquarters Completes)**

Single Joint Trust Keogh/QP IRA RothIRA Coverdell ESA Other \_\_\_\_\_

**LETTER OF ACCEPTANCE**  
 for IRAs and qualified plans:  
 be advised that Scottrade  
 will accept the listed account as  
 successor custodian/trustee.

\_\_\_\_\_  
 Authorized Signature

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Date of Trust

## Frequently Asked Questions on Transfers

### How long will the transfer take?

Full brokerage account transfers are sent via ACATS (Automated Customer Account Transfer Service) and take approximately 7-10 business days. Any residual balances that remain with the delivering brokerage firm after your transfer is completed should follow in 7-10 additional business days. Transfers that are not eligible to be entered on the ACATS system take at least 4 weeks to be completed upon receipt of all necessary paperwork.

### Will there be any transfer fees?

Upon receiving your transfer request, your previous institution may charge a fee that they will transfer to your Scottrade account as a debit and you are responsible for any fees transferred. Scottrade may charge you a fee for some foreign securities.

### What about Mutual Fund transfers?

Fill out Section B of the form. There are some mutual fund companies with whom Scottrade has not established an agreement to hold a particular mutual fund. You will have to contact the prior firm to have these funds liquidated. Some financial firms issue their own (proprietary) mutual funds and these mutual funds cannot be transferred to Scottrade. You may, at your choosing, contact the prior firm and liquidate these funds. There may be charges and expenses associated with liquidation. You should review the fund's prospectus for more information.

### What about Limited Partnerships?

Scottrade can only transfer NYSE traded LPs. For all other LPs, please contact your previous firm to either liquidate so proceeds will transfer or have a certificate sent to you.

### What about Annuity transfers?

Fill out section D of the form. We can only request liquidation for qualified accounts. Contact your existing insurer to see if they will need any additional documentation, such as the original annuity contract. Also, please be aware that there may be a surrender charge involved with liquidating the annuity.

### What is a Transfer in Kind?

Transfer of shares held directly with the mutual fund company to a new Scottrade brokerage account for the benefit of the client.

## For Delivering Organization's Use Only

### Receiving Firm Information:

Scottrade, Attn: ACAT Dept.

**USPS Mail to:** P.O. Box 31759, St. Louis, MO 63131-0759

**Overnight Mail to:** 500 Maryville Center Dr., St. Louis, MO 63141-5814

\*Please note: If this is a mutual fund transfer, direct all inquiries to the Mutual Fund Department at 314-965-1555 ext. 1610, option 5.

### Delivering Firms Any questions regarding this form should be directed to:

Scottrade ACAT Department (314) 965-1555

### Scottrade Customers

Please contact your local Scottrade branch office for assistance.

### Delivery Instructions

(All deliveries MUST include the client name and Scottrade Account Number)

<b>All DTC Eligible Securities</b>	DTC # 0705 FBO Client's Name and Scottrade Account Number
<b>Treasury Securities</b>	Federal Reserve Bank – Cleveland US Bank, N.A./1020 ABA #042000013 For: Scottrade, Inc. Acct. 348000097
<b>Government Agency Securities</b>	Federal Reserve Bank - Cleveland US Bank, N.A./1020 ABA #042000013 For: Scottrade, Inc. Acct. 385000034
<b>Fed Wired Monies</b>	US Bank N.A.St. Louis, MO Scottrade, Inc. A/C#: 1001086162 ABA#: 081000210 FBO Client's Name and Scottrade Account Number
<b>Checks- Cash/Margin Account</b>	Scottrade ATTN: ACAT Dept. P.O. Box 31759 St. Louis, MO 63131-0759 FBO Client's Name and Scottrade Account Number
<b>Checks- IRA Accounts</b>	Scottrade ATTN: IRA Dept P.O. Box 31759 St. Louis, MO 63131-0759 FBO Client's Name and Scottrade Account Number
<b>Mutual Fund Registration Cash/Margin Account</b>	Scottrade FBO Client's Name and Scottrade Account Number
<b>Mutual Fund Registration IRA Accounts</b>	Scottrade C/F Client's Name and Scottrade Account Number
<b>Foreign Securities</b>	Merrill Lynch FBO Scottrade, Inc. Please call Scottrade's Stock Record Department at 1-800-888-1980 to establish trade and settlement dates.