



# Merrill Lynch

## CUSTOMER ACCOUNT TRANSFER FORM

### Account Transfer Instructions

Please use this form to transfer your account assets from another financial institution to Merrill Lynch. Please take a moment to review the instructions below.

|                                    |  |
|------------------------------------|--|
| <b>Account Information</b>         | Complete a separate form for each account you are transferring to Merrill Lynch. <i>You must complete all information in Section 1 of the form.</i>  |
| <b>Transfer Type</b>               | Complete only one option in Section 2, specific to your type of transfer.  |
| <b>Account Holder Signature(s)</b> | The signatures of all account holders are required in Section 3.   |
| <b>Account Type</b>                | Transfers must occur between "like" accounts (e.g., single to single, joint to joint). If your transfer is not between like accounts, you must read and sign Section 5.<br><br>For retirement accounts, please contact Merrill Lynch for details.<br><br>To roll over assets from a 401(k) or other qualified employer-sponsored plan(s), please contact your employer.<br><br>To change the Broker/Dealer and Custodian, if applicable, on insurance and/or annuity products, select option 2.A. for <i>all</i> products; otherwise, select option 2.C. to list the specific product name/number. |
| <b>Statement Information</b>       | Include a copy of the most recent statement from your current financial institution when returning the form.   |
| <b>Other Information</b>           | Remember to update any automatic deposits or withdrawals that have been established on the account that you are transferring.<br><br>This form cannot be used to move assets between Merrill Lynch accounts. Please contact your Merrill Lynch Financial Advisor for details.  |

### ESTIMATED DELIVERY TIME FRAMES

#### ACAT Transfer Process

##### ASSET TYPE

All Assets

##### DELIVERY METHOD

All Assets NYSE/NSCC Members

##### ESTIMATED TIME FRAMES

9 Business Days

#### Non-ACAT Transfer Process

##### ASSET TYPE

Equities

Government Securities

Foreign Securities

Restricted Securities

Option Transactions

Mutual Fund Securities

Limited Partnerships

##### DELIVERY METHOD

Depository Trust Company (DTC)

Fed Wire/GSCC/PTC

Euroclear/Foreign Banks

Physical/Certificate

Option Clearing Corporation

Re-registration via Fund Agent

Re-registration via General Partner

depending upon their re-registration schedule

##### ESTIMATED TIME FRAMES

15 Business Days

15 Business Days

4 - 6 Weeks

15 - 20 Business Days

10 - 15 Business Days

May take up to 30 Business Days

3 - 5 Weeks

The above anticipated time frames are subject to the delivering firm's capabilities to move assets between financial institutions. Time frames are from date of receipt of instructions by delivering firm and may vary greatly.

Code 1566 (R11-07)



# Account Transfer Instruction

- Use this form to transfer securities and/or funds from another financial institution to Merrill Lynch, Pierce, Fenner & Smith Incorporated (Merrill Lynch).
- To roll over assets from a 401(k) or other qualified employer-sponsored retirement plan, please see your employer for specific details.

## 1. Your Account Information

| Merrill Lynch Account                        |   |
|--|---|
| Account Holder Name (First, Middle, Last)    |   |
| Co-Account Holder Name (First, Middle, Last) |   |
| Account Number                               | Account Type (GMA/IRA/ROTH/IRRA/SEP/etc.) |
| Daytime Telephone Number<br>( )              |   |
| Taxpayer Identification Number               |   |
| Merrill Lynch Branch Office Contact          |   |
| Name:  | FA#:                                      |
| Phone:                                       |   |

| Account Being Transferred (One account per form.)         |  |
|---|--|
| Name of Delivering Firm                                   |  |
| Account Type at Delivering Firm (IRA/ROTH/IRRA/SEP/etc.)  |  |
| Account Number at Delivering Firm                         |  |
| Title of Your Account (as it appears on your statement)   |  |
| Street Address of Delivering Firm                         |  |
| City, State, Zip of Delivering Firm                       |  |
| <b>Please attach a copy of your most recent statement</b> |  |

## 2. Specify the Type of Transfer to Merrill Lynch (Please select only one of the following options A, B, or C)

- A. Brokerage or Trust Company Account Transfer and change of Broker/Dealer and Custodian, if applicable, on all Insurance and/or Annuity Products\***

Delivering Firm Broker Code (Merrill Lynch Completes) \_\_\_\_\_

Please select one of the following three options:

- 1. Transfer my **entire** account to Merrill Lynch in-kind.
- 2. Liquidate my **entire** account and send proceeds.
- 3. Transfer my **entire** account after liquidating the assets listed below
- 4. Transfer **only** the assets listed below; (Attach additional sheets if necessary.)

| Description of assets | Number of shares or "all" | Transfer shares in-kind** |                             | Sell & transfer cash     |                             |
|-----------------------|---------------------------|---------------------------|-----------------------------|--------------------------|-----------------------------|
|                       |                           | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> |
| _____                 | _____                     | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> |
| _____                 | _____                     | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> |
| _____                 | _____                     | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> |

- B. Mutual Fund Company Transfer**

| Description of assets or mutual fund name | Account number | Number of shares or "all" | Transfer shares in-kind** |                             | Sell & transfer cash     |                             | Instructions for Dividends and Capital Gains: |    |                          |
|---|----------------|---------------------------|---------------------------|-----------------------------|--------------------------|-----------------------------|---|----|--------------------------|
|   |                |                           | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> | Reinvest both**                               | or | Cash for both            |
| _____                                     | _____          | _____                     | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> | <input type="checkbox"/>                      | or | <input type="checkbox"/> |
| _____                                     | _____          | _____                     | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> | <input type="checkbox"/>                      | or | <input type="checkbox"/> |
| _____                                     | _____          | _____                     | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> | <input type="checkbox"/>                      | or | <input type="checkbox"/> |

- C. Bank, Savings & Loan, Insurance, Annuity or Credit Union Transfer\*\*\***

Please select one of the following three options:

- 1. Transfer cash only. Please select one:  ALL \$ \_\_\_\_\_ or  PORTION \$ \_\_\_\_\_
- 2. Transfer CD or other asset(s) listed below.
- 3. Change Broker/Dealer and Custodian, if applicable, on annuity and/or insurance product listed below to Merrill Lynch\*\*\*\*

| Description of assets or product name | Contract or account # | Number of shares or "all" | Transfer shares in-kind** |                             | Sell & transfer cash†    |                             | Sell at maturity & transfer cash †† | Maturity date if selected |
|---------------------------------------|-----------------------|---------------------------|---------------------------|-----------------------------|--------------------------|-----------------------------|-------------------------------------|---------------------------|
|                                       |                       |                           | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> |                                     |                           |
| _____                                 | _____                 | _____                     | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> | <input type="checkbox"/>            | _____                     |
| _____                                 | _____                 | _____                     | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> | <input type="checkbox"/>            | _____                     |
| _____                                 | _____                 | _____                     | <input type="checkbox"/>  | or <input type="checkbox"/> | <input type="checkbox"/> | or <input type="checkbox"/> | <input type="checkbox"/>            | _____                     |

\*Select option A to change the Broker/Dealer and Custodian, if applicable, on all insurance and/or annuity products to Merrill Lynch.

\*\*If you do not indicate otherwise, Merrill Lynch will default to this option for executing your transfer and establishing your assets at Merrill Lynch.

\*\*\*If the investment is a life insurance policy or annuity, the holding firm may require additional documentation to transfer or change the Broker/Dealer and Custodian, if applicable, on these investments.

\*\*\*\*For annuity and/or insurance transfers, it might be necessary to submit a Request for Ownership Change to a New Custodian form (for retirement plan annuities) or a Broker/Dealer or Agent of Record Change (for non-qualified and non-custodial annuity products issued by carriers other than Merrill Lynch).

† Penalties may be incurred for early liquidation. †† Submit transfer request 2-3 weeks before maturity.

**3. Authorization and Signatures (Please Read Carefully and Sign Below)**

**To the Delivering Firm:**

- If this account is a retirement plan account, and the delivering firm is trustee or custodian of the plan, I have appropriately amended the applicable plan and named Merrill Lynch, or another person, as successor custodian or trustee under the plan. Unless otherwise indicated in the instructions above, please transfer all assets in my account to Merrill Lynch. 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 NYSE Rule 412 or similar rule of the FINRA or other designated examining authority.
- 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 that obligation. I understand that if I choose a method of disposition of assets in a retirement account other than liquidation and transfer, I may become liable for the payment of taxes and penalties with respect to such assets. If certificates or other instruments 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 Merrill Lynch to transfer them in its name for the purpose of sale, when and as directed by me. I understand that upon your validation of this transfer, you will freeze my account (i.e., all open orders on the account being transferred should be cancelled and no new orders should be accepted, except for transactions closing options positions which expire within seven days).
- I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me, if any, in connection with the account I have designated for transfer.
- If I am transferring a retirement account and I am required to take minimum required distribution, I attest that none of the amount to be transferred in my account includes my required minimum distribution for the current year.
- I understand that certain types of assets might not be transferable to Merrill Lynch. For example, some money market funds could be proprietary products of the delivering firm. If my account contains proprietary money market funds, please liquidate them and transfer the resulting credit balance to Merrill Lynch unless I have instructed otherwise here:

\_\_\_\_\_ For other types of non-transferable assets (e.g., products of a third party with which Merrill Lynch does not maintain a relationship), I understand that you or Merrill Lynch will contact me in writing to determine what disposition I wish to make.

|   |      |   |
|---|------|---|
| Account Holder's Signature  | Date | Medallion Signature Guarantee (Merrill Lynch Completes) |
| <input checked="" type="checkbox"/> Co-Account Holder's Signature | Date |   |
| <input checked="" type="checkbox"/> Co-Account Holder's Signature | Date |   |
| <input checked="" type="checkbox"/>                               |      |   |

**4. Letter of Acceptance (Complete only if the account being transferred to Merrill Lynch is a retirement account.)**

To the prior custodian/trustee of the retirement account designated for transfer:  
**Please be advised that Merrill Lynch does hereby accept appointment as successor custodian.**

|  |      |
|--|------|
| Successor Custodian Authorized Signature (Merrill Lynch Completes) | Date |
| <input checked="" type="checkbox"/>                                |      |

**5. Special Authorization if Account Titles or Taxpayer Identification Numbers are Different**

We authorize the transfer even though the Merrill Lynch account has a different title or different taxpayer identification number than the account being transferred. We understand that transfers involving mismatches of account titles or taxpayer identification numbers may require manual processing, and can take longer than same-name account transfers. All owners of each account have signed below.

|   |      |   |
|---|------|---|
| Account Holder's Signature  | Date | Medallion Signature Guarantee (Merrill Lynch Completes) |
| <input checked="" type="checkbox"/> Co-Account Holder's Signature | Date |   |
| <input checked="" type="checkbox"/> Co-Account Holder's Signature | Date |   |
| <input checked="" type="checkbox"/>                               |      |   |

**Information for Delivering Firm All deliveries must include client's name and Merrill Lynch account number**

**Receiving Firm Information:**  
 Merrill Lynch, Pierce, Fenner & Smith Inc.  
 Attn: Asset Transition Services Department  
 P.O. Box 40626  
 Jacksonville, FL 32203-0626

**All DTC Eligible Securities:**  
 Deliver to DTC Clearing  
 0161 vs. Payment  
 5198 vs. Receipt-free

**Checks and Re-Registration Papers for Cash/Margin Accounts (do not send physical certificates to this address); Cash Transfers between Retirement Accounts:**  
 Make checks payable to:  
 Merrill Lynch, Pierce, Fenner & Smith Inc., as custodian  
 FAO/FBO Client Name  
 ML Account #

Branch may affix office label here: If no label, mail checks to:  
 Merrill Lynch  
 Attn: Cash Management  
 4803 Deer Lake Drive West  
 Jacksonville, FL 32246-6485

**Fed Book Entry Securities: (e.g. Treasury Notes)**  
 JPMCHASE/CUST/MERRILL  
 ABA# 021000021  
 Further credit to client name and Merrill Lynch account number

**Fed Book Entry Mortgage:**  
 JPMCHASE/CUST/MILFRED  
 ABA# 021000021  
 Further credit to client name and Merrill Lynch account number

**Fed Wire Funds:**  
 Mellon Bank  
 500 Ross Street  
 Pittsburgh, PA 15262  
 ABA Routing # 0430-0026-1  
 For Credit to Merrill Lynch Account No. 101-1730  
 Further Credit to client name and Merrill Lynch account number

**Physical Delivery of Securities:**  
 DTC New York Window  
 55 Water Street  
 Concourse Level, South Building  
 New York, NY 10041

**Book Entry GNMA's**  
 PTC/GNMA  
 PTC Symbol: MILPFS

**Mailing Address for Physical Certificates:**  
 Merrill Lynch Processing Center  
 C/O DTC BDS 2SL  
 55 Water Street  
 New York, NY 10041

**Limited Partnerships:**  
 Merrill Lynch  
 Attn: Limited Partnership Operations  
 101 Hudson Street  
 Jersey City, NJ 07302

**Mutual Funds: Retirement Accounts Only**  
 MLPF&S Inc. FBO Client's name  
 Client's Merrill Lynch account number  
 Type of account (IRA/IRRA/Roth/etc.)  
 4800 Deer Lake Drive East, 2nd Floor  
 Jacksonville, FL 32246-6484  
 Tax ID number 13-3180817

**Mutual Funds: Retail Accounts Only**  
 Client's name  
 Client's mailing address  
 Client's tax ID number  
 Make Merrill Lynch broker dealer on account