



**Instructions to transfer securities, mutual funds, or other deposits to your TD Ameritrade Institutional account:**

- Complete **Sections 1-5** of the attached Transfer Form. For new accounts, a new account application must also be completed.
- **Section 1** - TD Ameritrade Institutional Account Information - complete your TD Ameritrade registration account information.
- **Section 2** - Delivering Firm Information - complete Delivering Firm's account registration information.
- **Section 3** - Transfer details see below for requirements. Depending on where the assets are coming in from, please complete section 3A, 3B, or 3C.
  - **Section 3A - Brokerage Firm Transfer**
    - For full account transfers, complete **Section 3A**, then the Discrepancies of Account Name and Type **Section 4** (if applicable) and sign in **Section 5**.
    - For partial account transfers, complete **Section 3A**, list description of asset, number of shares or "all", then the Discrepancies of Account Name and Type **Section 4** (if applicable) and sign in **Section 5**.
    - If you're transferring part of your account, list only the assets you want transferred to TD Ameritrade in section.
  - **Section 3B - Mutual Fund Company Transfer**
    - For full transfers - indicate all and mark transfers shares "in-kind" or liquidate and send proceeds.
    - For partial transfers - list individual fund name, number of shares, transfer in-kind or liquidate and send proceeds.
    - Call TD Ameritrade Institutional at 800-431-3500 to make sure the mutual fund is transferable to TD Ameritrade. Over 13,000 funds are available.
    - Send a separate Transfer Form for each mutual fund company (e.g., Vanguard, Fidelity, Berger, etc.) from which you're transferring. Photocopy our form if necessary or call for additional forms.
  - **Section 3C - Bank/Other**
    - To transfer a Money Market Account, please complete this section.
    - To transfer the proceeds of a maturing CD, initiate your transfer at least two to three weeks before the maturity date.
    - To transfer an Annuity or Life Insurance Policy, please check the appropriate box.
    - To transfer shares in book entry form, usually associated with a Dividend Reinvestment Plan, check the appropriate box.

Please note: fractional shares will be liquidated and transferred as cash.
- **Section 4** - Discrepancies of Account type and name, if applicable. Please note that not all carrying firms will accept this section to allow a transfer between unlike titles. The ultimate discretion to allow a transfer between unlike titles lies with the carrying custodian.
- **Section 5** - Signatures - all parties listed on the account registration information must sign. Please verify that the Social Security Number and the title of the account at TD Ameritrade are exactly the same as the account at the other institution.
- **Section 6** - Letter of Acceptance to be completed by TD Ameritrade if needed.

**IMPORTANT**

- **Please attach a COPY of the most recent statement from the institution you are transferring from. The statement should be from within the past 6 months to best display the most accurate holdings.** Please note the statement is used to process your request so an accurate statement allows for best results.
- Do not use this form to transfer between TD Ameritrade accounts.
- Roth IRA - In order to convert your Traditional IRA at another firm to a Roth IRA at TD Ameritrade, please convert to the Roth IRA with your existing custodian and then complete a transfer to a Roth IRA at TD Ameritrade.

**IF YOU HAVE ANY QUESTIONS, PLEASE Contact your advisor.**

Need more forms? Photocopy this form, call us, or visit our Web site at [www.advisorclient.com](http://www.advisorclient.com) for additional forms.







**5 SIGNATURE(S): PLEASE READ AND SIGN THIS SECTION (A COPY OF YOUR LATEST STATEMENT IS REQUIRED)**

If this account is a qualified retirement account, I have amended the applicable plan so that it names TD Ameritrade Clearing, Inc. as a successor custodian.

**Unless otherwise indicated in the instructions above, please transfer all assets in my account in kind 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.

Unless otherwise indicated in the instructions above, I authorize you to liquidate any non-transferable proprietary money market fund assets that are part of my account and the resulting credit balance to TD Ameritrade Clearing, Inc. 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. 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 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, you will cancel all open orders for my account on your books.

Account Owner's Printed Name: \_\_\_\_\_

Account Owner's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Account Co-Owner's Printed Name (if Joint Account): \_\_\_\_\_

Account Co-Owner's Signature (if Joint Account): \_\_\_\_\_ Date: \_\_\_\_\_

Plan Administrator Signature (optional): \_\_\_\_\_ Date: \_\_\_\_\_

**6 LETTER OF ACCEPTANCE FOR RETIREMENT PLANS (TD AMERITRADE COMPLETES)**

To the prior trustee or custodian: Please be advised that TD Ameritrade Clearing, Inc. will accept the above-captioned account as successor custodian.

Successor Custodian Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**FOR TD AMERITRADE USE ONLY:****Receiving Firm Information**

Clearing Firm: TD Ameritrade Clearing, Inc.  
 Tax ID Number: 47-0533629  
 Name and Address: TD Ameritrade, Inc.  
 Attn: Transfer of Accounts Department  
 1005 N. Ameritrade Place  
 Bellevue, NE 68005

All deliveries MUST include client name and TD Ameritrade, Inc. ("TD Ameritrade") account number.

<b>Depository Trust Company</b>	DTC # 0188
<b>Physical Delivery of Securities</b>	TD Ameritrade, Inc. FBO Client Name and Account Number PO Box 2226 Omaha, NE 68103-2226 1005 N. Ameritrade Place Bellevue, NE 68005
<b>Book-Entry GNMA Securities</b>	PTC Instructions are: BKNYC ATP
<b>Federal Book Entry (e.g., Treasury Notes)</b>	BK of NYC/TD Ameritrade ABA #021000018
<b>Fed Wired Monies</b>	Wire to: First National Bank of Omaha 16th & Dodge Streets Omaha, NE 68102 A/C of TD Ameritrade, Inc. ABA #104000016 A/C #16424641 For Further Credit to: Client's Name and Account Number
<b>Forward Checks</b>	TD Ameritrade, Inc. FBO Client Name and Account Number PO Box 919031 San Diego, CA 92191-9031 4075 Sorrento Valley Blvd., Suite A San Diego, CA 92121
<b>Mutual Fund Registration</b>	TD Ameritrade, Inc. Tax ID Number: 47-0533629 FBO Client's Name and Account Number PO Box 2226 Omaha, NE 68103-2226 Broker/Dealer: TD Ameritrade, Inc. 1005 N. Ameritrade Place Bellevue, NE 68005
<b>Options</b>	Options Clearing Corporation: OCC #0777
<b>Cost Basis Information (**Required**) TD Ameritrade is a CBRS Participant</b>	Mailing Address (for Transfer Statements and general questions) TD Ameritrade PO Box 2209 Omaha, NE 68103-2209  Or Fax Number: 1-866-468-6268  <i>Please include the client's name and TD Ameritrade account number in all correspondence</i>

**TD Ameritrade Institutional**  
 4075 Sorrento Valley Blvd., Suite A  
 San Diego, CA 92121

TDAI 9582 REV.12/11

Investment Products: Not FDIC Insured \* No Bank Guarantee \* May Lose Value

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