

# Trust Custody Transfer of Assets for Unlike Registration

Use this form together with Bank Trust Firm's TOA Form to be signed by the end customer to authorize the transfer of assets, currently at another firm, to the brokerage account held at National Financial Services LLC ("NFS"). Refer to the instructions page for more information.

## 1. Receiving Account Information

Fidelity Receiving Account Number	<input type="checkbox"/> Check for Allocation Account
Receiving Account Bank Trust Firm Name	
Receiving FBO Party	
Receiving FBO SSN or Taxpayer ID	

**Receiving Account Type At Account Holder/Custodian/Trustee**  
Check one.

### Nonretirement Accounts

- ☐ Individual ☐ Corp/Business  
☐ Joint ☐ UGMA/UTMA  
☐ Trust ☐ Estate  
☐ Other \_\_\_\_\_

### Retirement Accounts

- ☐ Traditional/Rollover IRA  
☐ Roth IRA ☐ Qualified Plan  
☐ SEP IRA ☐ IRA BDA  
☐ SIMPLE IRA ☐ Roth IRA BDA

Trust Co Account Max 20 characters.

## 2. Account Being Transferred

Delivering Account Number		DTC Number
Delivering Account Name(s)		
Delivering Firm Name		
Delivering Firm Address – No P.O. Boxes		City
State	Zip/Postal Code	Delivering Firm Phone

**Delivering Account Type** Check one.

### Nonretirement Accounts

- ☐ Individual ☐ Corp/Business  
☐ Joint ☐ UGMA/UTMA  
☐ Trust ☐ Estate  
☐ Other \_\_\_\_\_

### Retirement Accounts

- ☐ Traditional/Rollover IRA  
☐ Roth IRA ☐ Qualified Plan  
☐ SEP IRA ☐ IRA BDA  
☐ SIMPLE IRA ☐ Roth IRA BDA

## 3. Transfer Instructions

Complete either section A, B, C, D or E (one section only). Within section A, B, C, D or E check only one box, and complete applicable fields.

### A. Transfer from a Brokerage or Trust Company

- ☐ 1. **FULL** in-kind transfer of ALL asset types held in the delivering account.
- ☐ 2. **PARTIAL** in-kind transfer as detailed to the right. Complete a separate Additional Assets Schedule if more space is needed.

CUSIP of Security	Share Amount or "ALL"	Fidelity Account Number
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### B. Transfer from a Mutual Fund Company

CUSIP of Security	Mutual Fund Account Number	Share Amount or "ALL"	Fidelity Account Number	<b>Type of Transfer</b> <input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate  <input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate  <input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate  <input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate
CUSIP of Security	Mutual Fund Account Number	Share Amount or "ALL"	Fidelity Account Number	
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CUSIP of Security	Mutual Fund Account Number	Share Amount or "ALL"	Fidelity Account Number	

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### 3. Transfer Instructions *continued*

#### C. Transfer from a Bank or Credit Union *Do NOT use this form to transfer a nonretirement bank checking account.*

- ☐ 1. Transfer cash only. All cash will be transferred unless you indicate a different amount to transfer here:

Cash Transfer Amount
\$

- ☐ 2. Liquidate CD immediately and send cash.  
You may be charged a penalty for early withdrawal.

- ☐ 3. Liquidate CD at maturity and send cash.

CD Maturity Date MM DD YYYY

*The request must be submitted at least 21 days before maturity, and no more than 60 days before maturity.*

#### D. Transfer of an Annuity

All annuities must be surrendered (cash in), which could mean tax implications, penalties, fees, and loss of product features.

- ☐ 1. Full Annuity Surrender *Transfer the entire amount in cash immediately.*
- ☐ 2. Penalty-Free Surrender *Transfer ONLY the penalty-free portion. If the penalty-free portion is the full balance, transfer the full balance.*
- ☐ 3. Partial Annuity Surrender *Transfer the following cash amount:*

Cash Amount
\$

#### E. Transfer from a Transfer Agent (DRS)

CUSIP

- ☐ 1. Transfer all whole shares and sell fractions.
- ☐ 2. Transfer all whole shares only. *(Default if nothing selected).*
- ☐ 3. Transfer all whole shares, sell fractions, and close account
- ☐ 4. Transfer some eligible whole shares.

Number of Shares

### 4. Signatures and Dates *All owners of both accounts must sign the accompanying Bank Trust Firm TOA Form.*

The undersigned Bank Trust Firm (the "Bank") represents to each of the Delivering Firm and the Receiving Firm that the Bank's end customer account owner has represented, acknowledged and agreed to the Bank the following:

#### To the Delivering Firm

As indicated in the Transfer Instructions section, transfer all assets to Fidelity Brokerage Services LLC and National Financial Services LLC (collectively, "Fidelity"). **I authorize the transfer from the account in the Account Being Transferred section to an account that may be registered to my Account Holder indicated in the Receiving Account Information section at FBS. I understand that once the transfers have been completed, NFS and FBS may take instructions from my Account Holder indicated in the Receiving Account Information section with respect to all of the assets in the account(s) at FBS. I hereby acknowledge and authorize the different registration on the account at FBS is not registered to me individually and authorize FBS and NFS to proceed with the instructions on the transfer form.** I understand that if any assets in my account are not readily transferable, such assets may not be transferred within the time frames set by FINRA or other applicable authorities. I authorize you to liquidate any nontransferable proprietary

money market mutual funds in my account and transfer the resulting cash. I understand that if I choose a method of disposition of such assets other than transfer in-kind, I may become liable for the payment of taxes and penalties.

I also understand that I will be notified by the delivering firm, and/or the receiving firm, with respect to the disposition of any other assets in my account that are not transferable. 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, I authorize you to liquidate the assets in my account to satisfy any outstanding fees. 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/trustee to transfer them in its name for the purpose of sale, when and as directed by me. Upon receiving a copy of this transfer instruction,

the delivering organization will cancel all open orders for my account on its books. I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks, if any, for the account I have designated for transfer.

#### To the Receiving Firm

If I am subject to required minimum distributions, I attest that this transfer will not violate the required minimum distribution rules under Section 401(a)(9) of the Internal Revenue Code. If I am transferring a Roth IRA, I understand that it is my responsibility to track the Five-Year Aging Date. With respect to trust account transfers, Bank Trust authorized signer hereby represents to Fidelity: I have undertaken steps necessary to validate that the delivering account owner identified herein is duly authorized by the applicable trust documents to initiate the within transfer. I further agree to indemnify and hold harmless Fidelity for any losses associated therewith.

**All signers must sign and date the request within 90 days.**

*continued on next page*

## 4. Signatures and Dates *continued*

The Bank understands, acknowledges and agrees that it is solely responsible obtaining and verifying all account owners' signatures necessary to facilitate the transfer of assets contemplated in this form and ensuring that any such account owners have represented and agreed to the representations and statements set forth in this Section 4 and otherwise in this Form. Further, Bank acknowledges and agrees that Fidelity shall have no responsibility or liability whatsoever with respect to the transfer of assets contemplated herein and Bank agrees to indemnify and hold harmless Fidelity and their officers, directors, employees, agents, control persons and affiliates from all claims, losses, damages, liabilities and expenses (including reasonable attorney's fees) that may arise out of the transfer of assets contemplated herein.

### Bank Trust Firm

**Letter of Acceptance – IRAs and Retirement Plans** To the previous Trustee or Custodian: Be advised that the firm referenced does hereby accept appointment as successor Custodian/Trustee for the retirement account referred above. Transfer the account as instructed in the Transfer Instructions section on a fiduciary basis. The new account name will be registered in accordance with the account holder information indicated in the Account Being Transferred section above and the successor Custodian/Trustee for the account listed in the Receiving Account Information section.

**Letter of Acceptance – Nonretirement** To Whom It May Concern: Be advised that we hereby accept the transfer of assets held in said account per the attached instructions. \_\_\_\_\_ has opened an account in the above registration for this client.

Provide reference number or a list of authorized individuals dated within 1 year.

Reference Number	Print Successor Custodian/Trustee Name	Successor Custodian/Trustee Signature	Date MM - DD - YYYY
W			

☐

Print Bank Trust Authorized Signer Name <i>First, M.I., Last</i>	
Bank Trust Authorized Signer Signature	Date MM - DD - YYYY
<b>SIGN</b> X	X

MEALLION SIGNATURE GUARANTEE

# Transfer of Assets–Additional Assets Schedule

Receiving Firm: National Financial Services LLC

Delivering Firm Name	Delivering Firm Account Number
Bank/Trust Firm Name	Receiving Firm Account Number

CUSIP of Security	Mutual Fund Account Number	Share Amount or "ALL"	Fidelity Account Number	Type of Transfer
				<input type="checkbox"/> In Kind <input type="checkbox"/> Liquidate
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Fidelity Brokerage Services LLC, Member NYSE, SIPC

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