

Account Transfer

AT1

Account Number

Rep ID									

Instructions: Attach a complete copy of the client's most recent statement (dated within 90 days) in order for the transfer to be processed. If originals are required, please mail forms with all attachments to LPL Financial, Account Transfers, 1055 LPL Way, Fort Mill, SC 29715 or fax to (858) 202-8325.

Receiving Firm Clearing Number

0075

Transfer ID

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1. Your LPL Account

Account Registration

Ron Tucker

Social Security/Tax ID Number (Primary)

Social Security/Tax ID Number (Secondary if applicable)

Account Type (select one)

- ☐ Individual ☐ Trust ☐ Traditional or Rollover IRA
☐ Joint ☐ Estate ☐ Roth IRA
☐ Qualified Plan ☐ UGMA/UTMA ☐ SIMPLE IRA
☐ 403(b)7 ☐ SEP IRA ☐ Beneficiary IRA
☐ Corporate/Business ☐ Roth Beneficiary IRA
☐ Other:

2. Account Being Transferred

Account Number (ONLY ONE PER FORM)

Account Registration

Ron Tucker

Secondary Social Security/Tax ID Number (If applicable)

Delivering Firm Name

Delivering Firm Street Address

Phone Number

Account Type (select one)

- ☐ Individual ☐ Trust ☐ Traditional or Rollover IRA
☐ Joint ☐ Estate ☐ Roth IRA
☐ 403(b)7 ☐ UGMA/UTMA ☐ SIMPLE IRA
☐ Qualified Plan ☐ SEP IRA ☐ Beneficiary IRA
☐ Corporate/Business ☐ Roth Beneficiary IRA
☐ Other: ☐ Coverdell ESA

3. Transfer Instructions

You must complete section A, B and/or C below. If you have additional assets to transfer after using all spaces in sections 3 and 4, please submit an additional Account Transfer Form (F2). *LPL is not responsible for market fluctuation on ALL transfer requests. ** Note: You may have assets that cannot be transferred to LPL (e.g., mutual funds, variable annuities, CDs or alternative investment products proprietary to your former firm). You may incur costs to liquidate and transfer those assets or inactivity fees to leave those assets at your former firm.

A. In Kind

Brokerage account transfers are in kind; liquidate assets at current firm prior to submitting this form if you wish to have assets transferred in cash.

- ☐ Transfer ALL assets in kind
☐ Transfer only part of my account in kind, as detailed below:

CUSIP/Symbol	Number of Shares or "All"
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

- ☐ Direct Registration Shares / Dividend Reinvestment Plan Shares

Number of Shares or "All"

☐ Sell Fractions and Close Account

I understand that my account with the delivering firm may remain open and that I may continue to accrue shares if I am enrolled in a Dividend Reinvestment Plan (DRIP).

B. Liquidation

For banks, credit unions, mutual funds and trust companies only

- ☐ Liquidate ALL assets and transfer as cash
☐ Transfer cash only. All cash will be transferred unless you indicate a different amount to transfer here:
\$
☐ Liquidate only part of my account as detailed below:

CUSIP/Symbol	Number of Shares or "All"
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

C. Annuity and CD

*Important Annuity Information: To transfer your annuity assets, a surrender or liquidation of your annuity contract assets must generally occur. This may result in the following consequences: surrender charges, loss of vested living or death benefits, taxable earnings and possible tax penalties.

To liquidate an Annuity complete section (s) below:

- ☐ Liquidate Annuity in FULL and send cash. I understand that I may incur a penalty for early liquidation.
☐ Partial Annuity Liquidation
Liquidate \$ OR
☐ Only the amount of annuity available without a penalty

To liquidate a CD complete section(s) below:

Note: For retirement plans only. For retail accounts, contact your bank directly or use Cash Transfer Form F32.

- ☐ Liquidate CD in FULL immediately and send cash
☐ Liquidate part of CD immediately and transfer

\$

- ☐ Liquidate CD at maturity and send cash.¹ Maturity date is:

¹ Must be submitted two weeks prior to maturity date, but no more than 30 days.



Member FINRA/SIPC



5. LPL Account Holder Authorization (All LPL Account Holders MUST read, sign, and date)

To the delivering firm named above:

Signature Guarantee / Medallion Stamp

I/We have established the appropriate account with LPL Financial LLC to receive the transferring assets and in so doing have designated the successor custodian or plan trustee as shown below. Unless otherwise indicated in the instructions above, please transfer all assets in my/our account to LPL Financial LLC without penalties; such assets may not be transferred within the time frames required by FINRA Rule 11870 or similar rule of FINRA or other designated examining authority. Unless otherwise indicated in the instructions above, I/we authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my/our account and transfer the resulting credit balance to the LPL account. I/We authorize you to deduct any outstanding fees due you from the credit balance in my/our account. If my/ our 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/we authorize you to liquidate the assets in my/our account to the extent necessary to satisfy that obligation. I/we understand that I/we may incur a penalty for early liquidation. If certificates or other instruments in my/our account are in your physical possession, I/we instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor IRA, 403(b)7 custodian, or qualified plan trustee to transfer them in its name for the purpose of the sale, when and as directed by me/us. I/We understand that upon receiving a copy of this transfer information, you will cancel all open orders for my/our account on your books. I/We affirm that I/ we have destroyed or returned to you credit/debit cards and/or unused checks issued to me/us in connection with my/our securities account. I/We understand that you will contact me/us with respect to the disposition of any assets in my/our securities account that are non-transferable. For qualified retirement plans or retirement accounts whereby Private Trust Company, N.A. is not accepting appointment as Successor Custodian, I/we, the Trustee/Successor Custodian(s) indicated below, accept appointment as Trustee/Successor Custodian(s).

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Registration Differences: All parties involved must authorize the transfer/acceptance of assets from unlike accounts. By signing, I/we hereby acknowledge the existence of any differences in account owners and/or account types between the account being transferred and the LPL account. Each individual who signs below is aware of these differences and authorizes LPL Financial LLC to accept the transfer of assets as indicated on this form.

Additional Disclosures:

- If my transfer request includes Alternative Investment positions I understand that LPL has not approved nor performed any due diligence concerning the Alternative Investment position.
- If my transfer request includes Alternative Investment positions I agree to pay all Alternative Investment fees per the fee schedule.
- For Alternative Investment transfers, dividends are defaulted to cash for securities that are held on the Alternative Investment Platform (AIP).
- For mutual fund transfers, dividend and capital gain options are defaulted to reinvest.
- You acknowledge that LPL reserves the right in its sole discretion to not accept transfers of particular securities or funds into your Account for any reason and may refuse any of your transfer requests or orders. This includes, but is not limited to, the deposit, transfer, purchase or liquidation of Penny Stocks and securities that have been classified by the OTC Markets as falling into one of the following OTC Markets Marketplace Categories or Designations: 1) Caveat Emptor; 2) No Information; 3) Limited Information; or 4) Grey Market. LPL, generally, will not accept deposits or transfers, or permit purchases or sales of these securities. If any of these securities are transferred or deposited into your account, LPL will restrict these securities and not accept, permit or execute any order to sell or liquidate these securities from your LPL account and you may be required to transfer those out of your account or, if worthless, have them removed from your account. You also acknowledge that you will not hold LPL liable for any loss you may incur due to LPL's refusal to permit any deposit or transfer into your LPL account or from the refusal of any order, including any consequences due to any subsequent restriction on the sale of any of these securities.
- I/we certify that I/we are the proper party to make the request(s) attached herein and that the information provided is true and accurate.

Account Holder Signature

Account Holder Name (print)

Date

Joint Account Holder/Trustee Signature

Joint Account Holder/Trustee Name (print)

Date

Joint Account Holder/Trustee Signature

Joint Account Holder/Trustee Name (print)

Date

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To the prior trustee: The Private Trust Company, N.A. accepts the appointment as Successor Custodian on behalf of LPL.

Successor Custodian Signature

Account Number

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