us Wealth Management
U.S. Bancorp Investments

INSTRUCTIONS

All pages of the most recent statement of the account being transferred to U.S. Bancorp Investments must also be submitted with the Account Transfer Form. Please contact your U.S. Bancorp Investments Representative or call Wealth Management Advisory and Service Center at 1-800-888-4700 for assistance completing this form.

Sec. 1

- Enter the exact title of your U.S. Bancorp Investments account. Reference account statement if available.
- Enter the primary Social Security number or tax identification number and the U.S. Bancorp Investments account number.
- If there is a joint owner on the account: Enter that person's name and Social Security number.
- Check the type of brokerage account that applies.
  a) If the account is not a type of IRA: Check "Cash or margin."
  b) If the account is an IRA: Check the type of IRA it is and be sure to complete Sec. 6 of this form.
- U.S. Bancorp Investments will complete Rep name, Rep Phone and Rep ID.

Sec. 2

- Enter all requested information about the account you are transferring to U.S. Bancorp Investments. You can find all the account details on your most recent account statement.

Sec. 3 Brokerage Account Assets. Check either "Full Transfer" or "Partial Transfer or Partial Liquidation" to tell U.S. Bancorp Investments what brokerage assets you want transferred to your U.S. Bancorp Investments account or have liquidated and the cash transferred to your U.S. Bancorp Investments account.

- "Full Transfer"
  a) "Transfer all assets in kind" means that everything in the delivering account (the account currently holding the assets) will be transferred to your U.S. Bancorp Investments account in kind. "In kind" means that nothing will be sold; all transferable securities will simply transfer to U.S. Bancorp Investments. Any cash in the account will also transfer to U.S. Bancorp Investments.
  b) "Liquidate all assets" means that every security in the delivering account will be sold and the proceeds will transfer to your U.S. Bancorp Investments account as cash. (Please note that some firms do not honor third-party liquidations. Validate with firm if liquidation is needed.)
- "Partial Transfer or Partial Liquidation" allows you to request a specific quantity of a specific asset be transferred to U.S. Bancorp Investments or liquidated and the proceeds transferred to U.S. Bancorp Investments as cash.
  a) You must complete the chart to tell U.S. Bancorp Investments the specific quantity of each specific asset to transfer to U.S. Bancorp Investments. Tell us how many shares to transfer, the name and symbol of the asset, and whether you want that asset sold (and the cash transferred to U.S. Bancorp Investments) or transferred in kind.

Sec. 4 DRS = Direct Registration System Complete this section only if assets are currently being held directly with a transfer agent in book-entry form. If assets are being held by another broker/dealer, do not complete this section.

Sec. 5 Bank Account Assets. Indicate if there is a bank savings account or bank certificate of deposit/time deposit you want transferred to your U.S. Bancorp Investments brokerage account. (Please contact Wealth Management Advisory and Service Center for additional assistance if needed.)

- Bank Savings Account: Indicate whether you want all cash transferred or only a specific amount.
- Bank Certificate of Deposit: Indicate whether you want a CD transferred immediately (with or without penalty) or if you want to have it transfer when it matures. If choosing "at maturity": Write the date to liquidate.

Sec. 6 Complete only if you told us that the account is an IRA back in Sec. 1.

- Write the dollar amount the account was valued at on the last day of last calendar year.
- Check the type of transfer and if Traditional IRA, also tell us what to do about Required Minimum Distribution (RMD).

Sec. 7 Delivering firm instructions

Sec. 8 Sign and date the form.

- If your U.S. Bancorp Investments contact has told you to have the form signature guaranteed: Do not sign until you are in the presence of a U.S. Bank or a U.S. Bancorp Investments employee who is authorized to Medallion Stamp the document.
- Please contact your U.S. Bancorp Investments Representative or call Wealth Management Advisory and Service Center at 1-800-888-4700 if you have questions whether a Signature Guarantee is required.
- Choose one of the following ways to submit:
  Email forms to: **USBIService@usbank.com**
  Mail forms to: **U.S. Bancorp Investments Transfer Department EP-MN-WN2L 60 Livingston Ave St. Paul, MN 55107**

ACCOUNT TRANSFER FORM

Wealth Management
U.S. Bancorp Investments

Clearing Number 0280

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- **Do not use to request a rollover or for an annuity transfer.**
- **Submit all pages of account statement dated within the last 90 days for account being moved.**
- **Use one form per account being transferred.**

1 U.S. Bancorp Investments, Inc., Account and Representative Information

Title/Registration of Account/Primary Account Owner	SSN/TIN	Account #	Is the Account Owner a U.S. Bank Employee? ☐ Yes ☐ No *(Default)*
Joint Account Owner	SSN	Type of Account ☐ Brokerage (Cash/Margin) ☐ Roth IRA ☐ SEP IRA ☐ Traditional IRA ☐ Inherited IRA ☐ SIMPLE IRA	
Print Representative Name	Representative Phone *(10 digits)*		Rep ID #

2 Information About the Account You Are Transferring To U.S. Bancorp Investments

Name of Firm Where Account Is Currently Held *(Write exactly as printed in the top left corner of the statement.)*		Broker Clearing Number *(U.S. Bancorp Investments to complete)*
Account # At the Current Firm	Title/Registration of Account At the Current Firm	

3 Brokerage and Mutual Fund Transfer Instructions

Full transfer
☐ Transfer all assets in kind. *Do not complete chart below.*
☐ Liquidate all assets. *Do not complete chart below.*

Partial Transfer or Partial Liquidation
☐ Transfer only those account assets as indicated below.
Complete chart below. CUSIP or symbol required. Get from current statement.

# of Shares or "All"	Description of Asset. CUSIP or symbol required.	**ACTION.** *Check one.*
		☐ Liquidate ☐ Transfer-in-kind
		☐ Liquidate ☐ Transfer-in-kind
		☐ Liquidate ☐ Transfer-in-kind
		☐ Liquidate ☐ Transfer-in-kind

4 Direct Registration System Stock Transfers (DRS)

Select from one of the following:
☐ Transfer all Whole Shares and have Agent Sell Fractions
☐ Transfer all Whole Shares – Keep Fractions with Agent
☐ Transfer all Whole Shares, have Agent Sell Fractions and Close Account with Agent
☐ Move Specified Number of Whole Shares (no fractions). Number of Whole Shares to be Transferred: ________________

5 Savings Account or Certificate of Deposit (CD) Transfer Instructions

Savings Account
☐ All cash in account.
☐ Only $__________________

Certificate of Deposit *(Check one)*
☐ Liquidate immediately. I am aware of and acknowledge the penalty I will incur from an early withdrawal.
☐ Liquidate on maturity date: ______/______/______

6 IRA Transfer Instructions *(Cannot use this form to request the rollover of a qualified plan.)*

Current fair market value:

$________________________

☐ Transfer Traditional to Traditional
☐ Transfer SEP IRA to SEP IRA
☐ Transfer Roth IRA to Roth IRA
☐ Transfer SEP IRA to Traditional IRA
☐ Transfer SIMPLE IRA to Traditional IRA. Can only occur if 24 months have passed since opening SIMPLE.
☐ Transfer SIMPLE IRA to SIMPLE IRA
☐ Transfer Inherited IRA to Inherited IRA

7 Delivery Instructions

Contact usbii.account.transfer@usbank.com with questions.

Checks

1. Must be made payable to:
   U.S. Bancorp Investments
   FBO [Client's name]
   + account number
2. Mail to: U.S. Bancorp Investments
   Cash Control Department
   EP-MN-WN2C
   60 Livingston Avenue
   St. Paul, MN 55107

Securities *(Reference client name and U.S. Bancorp Investments account number.)*

Send via secured delivery to:
U.S. Bancorp Investments Security Cashier
EP-MN-WN1B
60 Livingston Avenue
St. Paul, MN 55107-2292

Delivery Instructions for All Other Investments

- **ACAT Mutual Fund:** U.S. Bancorp Investments, Transfer Dept., EP-MN-WN2L, 60 Livingston Ave., St. Paul, MN 55107-2292.
- **Dividend Reinvestment:** Liquidate all fractional shares and discontinue dividend reinvestment.
- **DTC-Eligible Securities:** DTC number 0280 (Code 40).
- **Options:** Pershing 4XR000021 Clearing #0443.
- **Fed Entry Securities, e.g., Treasury Notes:** BK of NYC, ABA 021000018, Third party = USBANCORP.
- **Fed-wired Monies:** ABA 091000022, Phase3 Account #173101852106, for further credit to account in Sec. 1 above.
- **Foreign Securities:** Pershing, Euro Clear 92146 (vs. free), Acct # 4XR000054.
- **Money Funds:** Liquidate and send check or wire following instructions in "Fed-wired Monies."

8 Signatures and Certification

SERVICE OF AN EXISTING INVESTMENT. If U.S. Bancorp Investments is unable or unwilling to service an existing investment that is currently held outside of U.S. Bancorp Investments, U.S. Bancorp Investments or the representative will advise the client of this fact, as well as the option that the client may have to continue to hold the investment at the client's prior firm, before recommending that the client liquidate or surrender the investment.

BROKERAGE ASSETS. To carrying firm: Transfer assets in my account to U.S. Bancorp Investments, Inc., as indicated above. 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 liquidate any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to U.S. Bancorp Investments. 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 sufficient to satisfy any outstanding fees due you, I authorize you to liquidate assets in my account to the extent necessary to satisfy that obligation. If 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 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. I affirm, if this is a full transfer, that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me in connection with my securities account. I understand that you will contact me with respect to the disposition of any assets in my securities account that are nontransferable.

RETIREMENT ACCOUNTS. If this account is a qualified retirement account, I have amended the applicable plan so it names U.S. Bank, National Association, as successor custodian and U.S. Bancorp Investments, Inc., as broker. You are authorized to deduct any outstanding fees due the custodian/trustee from the credit balance in the account or if the credit balance in the account is insufficient to satisfy any outstanding fees due the custodian/trustee, to liquidate assets in the account to the extent necessary to satisfy any outstanding fees due.

______________________________ ____________
Signature of Primary Account Owner/Responsible Party Date

SIGNATURE GUARANTEE. *(Required only for Non-ACATS transfer request. Must be affixed before submitting to U.S. Bancorp Investments Transfer Department.)*

______________________________ ____________
Signature of Joint Account Owner Date

SIGNATURE GUARANTEE. *(Required only for Non-ACATS transfer request. Must be affixed before submitting to U.S. Bancorp Investments Transfer Department.)*

LETTER OF AUTHORIZATION.

1) If an IRA, U.S. Bank N.A. will accept the above account as successor custodian.
2) If not an IRA, U.S. Bancorp Investments, Inc., will accept the above account as successor depository/custodian.

Steve W Steiner
Chief Operating Officer, U.S. Bancorp Investments, Inc.

Instruction for U.S. Bancorp Investment Representative Only
Submit via workflow, provide a copy to client. Original to branch file.

Wealth Management
U.S. Bancorp Investments

ACCOUNT TRANSFER SUPPLEMENT

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Name	SSN/TIN	Account #

1 Brokerage and Mutual Fund Position Chart *(Continued on page 5.)*

# of Shares or "All"	**Description of Asset, CUSIP or symbol required.**	**Action.** *Check one.*
		☐ Liquidate ☐ Transfer-in-kind
		☐ Liquidate ☐ Transfer-in-kind
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U.S. Bank Wealth Management
U.S. Bancorp Investments

Name: ______________________

SSN/TIN: ______________ Account #: ______________

1 Brokerage and Mutual Fund Position Chart *(Continued from page 4.)*

# of Shares or "All"	Description of Asset, CUSIP or symbol required.	**Action.** *Check one.*
		☐ Liquidate ☐ Transfer-in-kind
		☐ Liquidate ☐ Transfer-in-kind
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