

# Customer Account Transfer



Sub Firm # <input type="text"/>	BR Code <input type="text"/>	FA Code <input type="text"/>	Account Number <input type="text"/>	First Clearing# <u>0141</u>	ACAT – Fax: (704) 427-8372 Send to N9160-01P Blue Envelope
(Office Use Only)				Delivering Firm Clearing _____	Mutual Funds – Fax: (336) 773-6849 Send to N9160-01P Orange Envelope
					Physical Receipts (Certificates Only) Send to H0006-094

### 1. Receiving Firm Account Information

Client TIN/SSN	Secondary TIN/SSN
Receiving Firm Account Registration	
Owner's Address	
(select only one) <b>Non-Retirement Account Type</b>	
<input type="checkbox"/> Single <input type="checkbox"/> Joint <input type="checkbox"/> Trust <input type="checkbox"/> Custodian <input type="checkbox"/> Estate <input type="checkbox"/> Corporate <input type="checkbox"/> Other _____	
<b>Retirement Account Type (See page 2 for Retirement Account Reminders)</b>	
<input type="checkbox"/> Roth IRA <input type="checkbox"/> Traditional IRA <input type="checkbox"/> Qualified <input type="checkbox"/> 401(k) <input type="checkbox"/> SIMPLE IRA <input type="checkbox"/> Other _____ <input type="checkbox"/> SEP IRA <input type="checkbox"/> Education Savings <input type="checkbox"/> Beneficiary IRA	

### 2. Delivering Firm Account Information

Account Number <i>(Only one account # can be used per form unless from a mutual fund company)</i>	
Delivering Firm Account Registration (exactly how it appears on your statement)	
Name of Delivering Firm	
Delivering Firm Address	
(select only one) <b>Non-Retirement Account Type</b>	
<input type="checkbox"/> Single <input type="checkbox"/> Joint <input type="checkbox"/> Trust <input type="checkbox"/> Custodian <input type="checkbox"/> Estate <input type="checkbox"/> Corporate <input type="checkbox"/> Other _____	
<b>Retirement Account Type (See page 2 for Retirement Account Reminders)</b>	
<input type="checkbox"/> Roth IRA <input type="checkbox"/> Traditional IRA <input type="checkbox"/> Qualified <input type="checkbox"/> 401(k) <input type="checkbox"/> SIMPLE IRA <input type="checkbox"/> Other _____ <input type="checkbox"/> SEP IRA <input type="checkbox"/> Education Savings <input type="checkbox"/> Beneficiary IRA	

**Please note that the most recent statement is required to process this request. This excludes in-kind ACAT requests.**

### 3. Transfer Instructions (select one)

<p><b>A. Entire Account Transfer</b> (check one only)</p> <input type="checkbox"/> Transfer - all assets in kind. <p><b>Liquidations:</b> Some firms may not accept this form for Liquidation. Do not enter Service Request on the ACAT system if Liquidation is requested.</p> <input type="checkbox"/> Liquidate - all assets and transfer proceeds. <input type="checkbox"/> Liquidate - only assets listed in the Asset Listing in Section 4, transfer proceeds and all remaining assets in kind. <p><b>B. Partial Account Transfer</b></p> <input type="checkbox"/> Transfer assets or proceeds as listed in the Asset Listing in Section 4. <p><b>C. Mutual Fund Transfer (statement required)</b>          Shares held direct at a mutual fund company or held as physical certificates (excludes 529 plan accounts). If funds are held in a third party (i.e., Trust Company, Bank), complete section A or B.  <input type="checkbox"/> Mutual Funds held direct. List each fund in the Asset Listing in Section 4.  <input type="checkbox"/> Mutual Fund Certificates. FA Last Name: _____</p>	<p><b>D. Certificate of Deposit Liquidation (CD)</b> (check one only)</p> <input type="checkbox"/> Upon Maturity – the maturity date is _____ <i>(submit 4 weeks before maturity date)</i> <input type="checkbox"/> Immediately – I acknowledge there may be a penalty and/or surrender charge for a full liquidation. <input type="checkbox"/> Percent or Amount: _____ <i>(If not marked, liquidate all.)</i> <p><b>E. Annuity Liquidation</b> (check one only)</p> <input type="checkbox"/> Immediately – I acknowledge there may be a penalty and/or surrender charge for a full liquidation. <input type="checkbox"/> Percent or Amount: _____ <i>(If not marked, liquidate all.)</i> <input type="checkbox"/> Penalty-free amount only.
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### 4. Asset Listing

Asset Description Symbol/CUSIP	Mutual Funds PARTIAL LIQUIDATIONS ONLY	Quantity	Transfers (Must be checked for each asset)	Mutual Fund Account Number (if Direct at the Fund)	Mutual Fund Capital Gains Option (select one)	Mutual Fund Dividends Option (select one)
Cash \$ _____ <i>(Cash not applicable for Mutual Funds Company Transfers)</i>					IF NOT COMPLETED ASSUMED CHOICE IS REINVEST	
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash

<b>SR#</b>
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Sub Firm #	BR Code	FA Code	Account Number	First Clearing# 0141
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Delivering Firm
(Office Use Only)				Clearing _____

**Asset Listing – continued**

Asset Description Symbol/CUSIP	Mutual Funds PARTIAL LIQUIDATIONS ONLY	Quantity	Transfers (Must be checked for each asset)	Mutual Fund Account Number (if Direct at the Fund)	Mutual Fund Capital Gains Option (select one)	Mutual Fund Dividends Option (select one)
					IF NOT COMPLETED ASSUMED CHOICE IS REINVEST	
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
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	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
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	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
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	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
	<input type="checkbox"/> Dollars <input type="checkbox"/> Shares	<input type="checkbox"/> All <input type="checkbox"/> _____	<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate		<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash

**For more assets attach an additional page 1A.**

# Terms & Conditions

## Client Instructions to Delivering Firm

If this account is a qualified retirement account, I have amended the applicable plan so that it names First Clearing, LLC (FCC) as successor custodian. Unless otherwise indicated in the instructions above, please transfer all assets in my account.

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 FINRA Rule 11870 or similar rule of 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. 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. I affirm 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 non-transferable.

- I understand that fractional shares may not transfer in kind and may be required to be liquidated to complete a full transfer.
- When applicable, I authorize the delivering firm to discontinue all account management agreements immediately. The client will have sole responsibility for investment decisions with respect to the securities, cash, and other assets in the client's account until the client hires a new investment manager.
- **CLIENT PLEASE NOTE:** (Applicable to retirement accounts only.) Regular IRA contributions can be commingled with rollover/direct rollover contributions. Please consult with a tax advisor to determine the best option for your situation. I understand and acknowledge that commingling may preclude me from rolling funds from my IRA to another qualified plan or 403(b) plan.

## Cash Sweep

I/We consent to having uninvested cash included in the Wells Fargo Advisors Cash Sweep Program. For most accounts, the Bank Deposit Sweep will be used for uninvested cash balances, for which no interest is otherwise earned or paid. Advisory ERISA and accounts for banks, credit unions, mutual fund and insurance companies, and government entities will sweep to a Money Market Mutual Fund, which may be affiliated with Wells Fargo Advisors. Wells Fargo Advisors may charge fees and receive certain benefits on the cash sweeps. I/We further acknowledge that if Wells Fargo Advisors changes the Cash Sweep Program on my/our account I/We will be provided with prior written notice. Bank Deposit and Money Market Mutual Fund sweeps are subject to different risks and account protection. The Bank Deposit Sweep is subject to FDIC insurance and Money Market Mutual Funds are covered by SIPC. Details about the Wells Fargo Advisors Cash Sweep Program, including the different risks and enhanced account protection, are covered in the sweep program disclosure statement which will be included in your new account package and can be found online at [www.wellsfargoadvisors.com/financial-services/account-services/cash-sweep.htm](http://www.wellsfargoadvisors.com/financial-services/account-services/cash-sweep.htm).

## IRA Direct Rollover from Qualified Retirement Plan (QRP) Important Information and Irrevocable Election

A direct rollover is a reportable distribution from a QRP to an IRA or another QRP. Due to the important tax consequences associated with rolling over funds or property to an IRA from an employer-held plan, when you sign this Customer Account Transfer form, you acknowledge the following: the IRA custodian is not responsible for providing you with tax or other legal advice; you have been advised to see a tax professional; and no broker or other employee is authorized to give such advice. Please keep in mind that rolling over QRP assets to an IRA is just one of multiple options for your retirement plan. Each of these options has advantages and disadvantages and the one that is best depends on your individual circumstances. You should consider features such as investment choices, fees and expenses, and services offered. Investing and maintaining assets in an IRA will generally involve higher costs than those associated with employer-sponsored retirement plans. We recommend you consult with your current plan administrator before making any decisions regarding your retirement assets. You are aware that the rollover from the QRP is an irrevocable election, and you are certifying that all information provided on this form is true and correct. You are certifying that you understand the rules and conditions associated with making a direct rollover and that the assets being moved from the QRP are eligible for rolling over into an IRA or another QRP. You are also assuming full responsibility for this direct rollover transaction and will not hold the IRA custodian liable for any adverse consequences that may result.

## IRA-to-IRA Rollovers & Transfers

The IRS has revised its guidance for completing IRA-to-IRA rollovers. Under the new guidance, individuals are permitted to make only one 60-day indirect IRA-to-IRA rollover per one-year period (365 days). An IRA rollover is defined as IRA funds withdrawn from an IRA and then paid back into an IRA no later than 60 days after the IRA owner receives the distribution. This one IRA rollover per year limitation applies on an aggregate basis for all IRAs of any type owned by any one individual. The one-year period begins on the date an IRA owner receives the distribution. *There continues to be no limit on the number of IRA transfers that can be completed.* An IRA transfer occurs when funds are transferred from an IRA at one institution directly to an IRA at a different institution and the distribution is payable to the new IRA custodian (not the IRA owner), or the funds are transmitted directly to the new IRA custodian. For more information, visit [www.irs.gov](http://www.irs.gov).

## Age 70½ Required Minimum Distribution (RMD) Retirement Account Reminder

The IRS permits you to transfer your RMD between like IRAs, but you are not permitted to roll over an RMD even as a direct rollover from a QRP. Be sure to satisfy your RMD before requesting a direct rollover. If you need additional information about this requirement, please contact your legal or tax advisor.

## **Information for Clients Who Are Joining Their Financial Advisor at Wells Fargo Advisors (WFA)**

If an investment cannot be held at WFA, you will be notified and provided options available including maintaining the investment at your previous firm. Please review your options with your Financial Advisor.

Your Financial Advisor may have received a transitional compensation package to join WFA. This package is generally contingent upon attaining revenue and/or assets under management objectives at WFA within a specific time period after joining the firm. In addition, your Financial Advisor may be eligible for deferred financial compensation based upon his/her ability to achieve his/her prior revenue and/or assets under management at the previous firm.

### **Auction Rate Securities: Account Transfer Acknowledgement**

You understand and agree to the following in connection with the auction rate securities held in your account:

- Your auction rate securities were purchased prior to the transfer of your account to us. As a result, we are not responsible or liable for any prior recommendations or advice with respect to these securities nor are we under any obligation to provide you with any investment recommendation or advice with respect to the disposition or continued holding of these securities in your account following the transfer of your account.
- You also understand and agree that we are not under any obligation to you (i) to provide loans under margin agreements or otherwise secured in whole or part by the auction rate securities in your account; (ii) to purchase or continue to purchase any auction rate securities in periodic rate setting auctions or in secondary market transactions; or (iii) to provide liquidity for such securities. Many auctions for these securities are in failed status, meaning that holders of these securities are not able to sell these securities in the periodic rate setting auctions or in secondary market transactions and as a result, liquidity for these securities currently is greatly impaired. We provide no assurance that you will be able to sell or otherwise dispose of these securities following the transfer of your account to us. You understand that we take actions in connection with other customers that we do not offer you in connection with your auction rate securities.

### **Revocation of Advisory Agreements**

When applicable, I authorize the delivering firm to discontinue all account management agreements immediately. The client will have sole responsibility for investment decisions with respect to the securities, cash, and other assets in the client's account until the client hires a new investment manager.

### **Margin Agreements**

Accounts for which the client signed Margin Agreement has not been received by the Firm may be subject to restriction, sellout, and closure after review by the Credit Margin Department.

### **Wells Fargo Bank, N.A. Agency Accounts**

This document constitutes my instruction to Wells Fargo Bank, N.A. to terminate the above-referenced account and transfer as instructed to First Clearing, LLC.

Sub Firm #	BR Code	FA Code	Account Number	First Clearing# <u>0141</u>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Delivering Firm Clearing _____

*(Office Use Only)*

### 5. One and Same Name Certification

**By completing this section you are authorizing a transfer between unlike account registrations only.**

This is to certify that \_\_\_\_\_ (print name)  
and \_\_\_\_\_ (print name) are one and the same person.

**Sign as both ways Accounts are Registered:**

Signature <b>X</b>	Print Name	Date
Signature <b>X</b>	Print Name	Date

### 6. Authorization to Change Registration

**By completing this section you are authorizing a transfer between unlike account registrations and ownership. Not applicable for retirement accounts. Note: The delivering firm may require additional paperwork to transfer between unlike account registrations.**

Delivering Firm/Mutual Fund Co Account Title	Account Number	Account Social Security Number/Tax ID
Receiving Firm/Mutual Fund Co Account Title	Account Number	Account Social Security Number/Tax ID

I understand and accept the change of registration and ownership and hold Wells Fargo Advisors, First Clearing, LLC and the delivering firm harmless from acting on the above instruction. *This may not be applicable in all cases.*

### 7. Acknowledgement & Signatures

*All Account Holders must sign and date. If acting as a fiduciary (such as Power of Attorney, Trustee, Executor), please sign in that capacity. I/We, the undersigned, acknowledge that I/We have read, understand, and agree to be bound by the terms & conditions.*

Account Holder's Signature, Capacity <b>X</b>	Account Holder's Name (print)	Date
Account Holder's Signature, Capacity <b>X</b>	Account Holder's Name (print)	Date
Account Holder's Signature, Capacity <b>X</b>	Account Holder's Name (print)	Date
Account Holder's Signature, Capacity <b>X</b>	Account Holder's Name (print)	Date
Account Holder's Signature, Capacity <b>X</b>	Account Holder's Name (print)	Date
Account Holder's Signature, Capacity <b>X</b>	Account Holder's Name (print)	Date

### Office Use Only - Client Identification/Signature Validation - All Liquidations and Mutual Fund Direct Transfers Only

<b>(Check one of the four Validation Options)</b> 1. <input type="checkbox"/> Client Personally Known to Me 2. <input type="checkbox"/> Validated Government-Issued Photo ID (when client is present) 3. <input type="checkbox"/> Compared Signature to Imaged Documents 4. <input type="checkbox"/> Verbally confirmed two of the following (when client is not present): <input type="checkbox"/> Social Security Number or Tax Identification Number <input type="checkbox"/> Date of Birth <input type="checkbox"/> Home Telephone Number <input type="checkbox"/> Recent Account Activity	<b>Signature Guarantee</b>	
	<b>I certify that I validated the client's identity and/or signature via the method indicated above. I further certify that the client has the authority to execute the transaction.</b>	
Name (Print)	Signature <b>X</b>	Date

### Custodian Acceptance – Office Use Only

Be advised that First Clearing, LLC accepts appointment as Successor Custodian. <b>X</b> Successor Custodian Signature _____ Date (must be completed) _____	Contact: <input type="checkbox"/> _____ Phone: _____ <input type="checkbox"/> Account Transfers Phone: 855-372-3526 <input type="checkbox"/> Mutual Funds Department Phone: 314-875-6750
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# Delivering Instructions

<b>Receiving Firm Information:</b> FIRST CLEARING, LLC ONE NORTH JEFFERSON AVE. ST. LOUIS, MO 63103	Tax ID Number: 23-2384840 - FCC Retail and IRA
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**Delivery Instructions** (All deliveries MUST include the client name and FCC account number.)

<b>Wire Instructions</b>	Wells Fargo Bank 420 Montgomery St., San Francisco, CA 94104 ABA 121000248 Beneficiary: First Clearing, LLC One North Jefferson Ave. St. Louis, MO 63103 Account #: 4122023377 Further Credit: Client Name, 8-digit brokerage account number
<b>All DTC Eligible Securities</b>	DTC #: 0141 Client Name and Client Account Number
<b>Physical Certificates</b>  *If only statement, see DRS Statements section below	FIRST CLEARING, LLC Attn: Physical Receives – H0006-094 One North Jefferson Ave. St. Louis, MO 63103 Further Credit to Client Account Number
<b>Book-Entry GNMA Securities – PTC</b> <b>Or</b> <b>Fed Book-Entry – Government Securities</b>	BK of NYC/FCCORP ABA# 021000018 Further Credit to Client Account Number
<b>Euroclear Eligible Bonds</b> <b>(must notify Security Clearance 2 days prior to settlement)</b>	EUROCLEAR #10665 Further Credit to Client Account Number
<b>Foreign Equities:</b> <b>(must notify Security Clearance in order for them to instruct)</b>	JPMorgan Chase Bank A/C # CHASGBZLST Account of First Clearing, LLC Further Credit to Client Account Number
<b>Forward Checks* to the Address Indicated</b> *Must include Client Name and First Clearing, LLC Account Number	<input type="checkbox"/> FIRST CLEARING, LLC Attn: Cash Management – H0006-085 One North Jefferson Ave. St. Louis, MO 63103 Further Credit to Client Account Number  <input type="checkbox"/> _____ _____ _____ _____
<b>ACAT Mutual Fund Registration</b> <b>Instructions - FCC IRA</b>	FIRST CLEARING, LLC FBO: Client Name and Client Account Number One North Jefferson Ave. St. Louis, MO 63103
<b>Mutual Fund Broker-Dealer</b>	First Clearing, LLC
<b>DRS Statements</b>	FIRST CLEARING, LLC FAO: Client Account Number (Client Address on File)
<b>Re-Registration Letter</b>	Mail Original to: Agent on Record  Send a copy to First Clearing: Fax to: 704-427-8372

**Investment and Insurance Products:**

<b>Not Insured by FDIC or any Federal Government Agency</b>	<b>May Lose Value</b>	<b>Not a Deposit of or Guaranteed by a Bank or any Bank Affiliate</b>
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Wells Fargo Advisors is the trade name used by two separate registered broker-dealers: Wells Fargo Advisors, LLC and Wells Fargo Advisors Financial Network, LLC, members SIPC, non-bank affiliates of Wells Fargo & Company.