



# Transfer Out - Depository Trust and Clearing (DTC) Transfer Form

For use when requesting a Charitable Gift or Outbound partial transfer to another financial institution.

**Mail or Fax to:**

PO Box 2760 ■ Omaha, NE 68103-2760

Fax: 866-468-6268

### 1. ACCOUNT INFORMATION

|                            |                            |
|----------------------------|----------------------------|
| Account Number: [REDACTED] | Contact Number: [REDACTED] |
|----------------------------|----------------------------|

### 2. ELECTRONIC TRANSFER INSTRUCTIONS

Charitable Gift

For tax purposes, please contact recipient of coming donation. Consult with a tax professional on any tax issues. Please review the guidelines below to make sure your transfer can be processed.

- For all gift transfers, the date of gift is the date the transfer is completed.

If a charitable contribution, I certify that it is bona fide. TD Ameritrade Clearing, Inc. may release my name to the receiving charitable organization unless I indicate otherwise by initialing here \_\_\_\_\_.

Partial Transfer

Other than charitable contributions, if transfers are not between like-titled accounts, the third party information below must be completed. Partial account transfers between brokerages via an electronic system.

Pursuant to the provisions of the USA Patriot Act of 2001, TD Ameritrade needs specific information from our clients regarding certain transactions, including Third Party Transfers. For this reason, we do ask for a specific purpose for Third Party transfers.

Please Note: Not all Third Party Transfer requests can be facilitated as the request may be outside TD Ameritrade's scope of business.

|   |   |
|---|---|
| Reason for Third Party Transfer:<br>Account Liquidation         | Relationship:<br>Affiliated Entity      |
| Receiving Firm Name:<br>Charles Schwab and Company              | DTC Number:<br>0164                     |
| Receiving Account Title:<br>Southern Country International, LTD | Receiving Account Number:<br>[REDACTED] |

### 3. ASSETS TO BE TRANSFERRED

Only whole shares can be requested, as fractional shares cannot be processed. I understand that any trading could delay the processing of this request.

| Symbol/CUSIP | # of Shares | Symbol/CUSIP | # of Shares | Symbol/CUSIP | # of Shares |
|--------------|-------------|--------------|-------------|--------------|-------------|
| UTX          | 15,000      | 30162RAA9    | 3,000,000   |              |             |
| C-K          | 79,000      | 172967JZ5    | 3,000,000   |              |             |
| ALLY-A       | 80,000      | 04621XAK4    | 2,000,000   |              |             |
| A29866AB5    | 2,000,000   |              |             |              |             |
| 539439AG4    | 1,903,000   |              |             |              |             |
| 46625HHA1    | 5,760,000   |              |             |              |             |

Please list additional shares from transfer on a separate piece of paper

If you would like to select a specific lot to be transferred other than your current lot relief selection, please submit a signed and dated letter of instruction (LOI) along with your Partial Transfer Form. The LOI will need to include: Asset Description or Symbol, Number of Whole Shares, Date Purchased and Current Cost per Share.

If lots are not specified prior to the settlement of the transfer, your transfer default tax lot identification method will be used. Please note, your default tax lot identification method for transfers may be different than what you selected for trades. To view available lots for the transfer, please log into your account and access the Gain/Loss Report, which can be located under My Account > Gain Loss.

I (we) authorize TD Ameritrade Clearing, Inc. to transfer the above-listed security as indicated. I understand that not all securities are eligible for direct registration transfer.

### 4. SIGNATURE AND SIGNATURE GUARANTEE STAMPS (Please sign, print, and mail or fax this form to initiate the transfer request.)

|   |                    |
|---|--------------------|
| <input checked="" type="checkbox"/> Account Owner's Signature:<br>Jeffrey Epstein | Date:<br>5/13/2019 |
|---|--------------------|

Signature Guarantee Stamp:

|   |       |
|---|-------|
| <input checked="" type="checkbox"/> Account Co-Owner's Signature: | Date: |
|---|-------|

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

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# CONFIDENTIAL

SDNY\_GM\_00012163

EFTA\_00122814

EFTA01268287

**From:** "KOFAX PROD PROCESS" <TeamT2ECMEngineering@tdameritrade.com>  
**Date:** Fri, 17 May 2019 14:02:4G -0400  
**To:** tdarprocessing@tdameritrade.com  
**Subject:** Re: Transfer from TD to Schwab //- messageID=105094735 //- caseID=58907978  
**Attachments:** Attachment\_20739838.zip

From Address: 867730320@inbox.amtd.com

Message ID: 105094735

Case ID: 58907978

attached is a clear copy  
please confirm it is ok  
thank you

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=  
On 05/17/19 10:47 AM Message Center Client Services wrote:  
?  
Hello Mr. Kahn,

This item was still in our processing queue, but with your email I grabbed it to make sure everything was good as is. I'm showing the scanned in form is rather blurry and dark. Unfortunately we're unable to see the assets listed to be transferred. Normally if this was an ACAT's transfer, we could list it as full transfer and perhaps get around this as an exception.

However after checking with our transfers team because it's a DTC transfer, we do need those assets listed explicitly in a way that can be read. If you could please send back in the form, we do need to be able to read the assets listed and signature page in order to be in compliance with sending out the form.

Let us know if we can help in any way.

Wade Reigle  
Senior Account Manager  
Private Client Services Elite  
TD Ameritrade  
10842 Farnam Dr. Omaha, NE 68154  
800-400-4078  
PCSEliteSouth@tdameritrade.com

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SDNY\_GM\_00012164

EFTA\_00122815

EFTA01268288

Original Message Follows:

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Form Message

FULL\_NAME: Richard Kahn  
ACCOUNT\_TITLE: SOUTHERN FINANCIAL LLC  
USERID: 867730320z  
ACCOUNT\_NUMBER: 867730320  
User-Agent: Mozilla/5.0 (Macintosh; Intel Mac OS X 10.13; rv:66.0) Gecko/20100101 Firefox/66.0  
ENVIRONMENT: invest.ameritrade.com

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Please advise on Status as i understand this request was put in on 5-14-2019

Thank you

(KMM105091527V8012L0KM)  
[ Attachment 1 Type: application/pdf Name: TD\_Transfer\_Form\_SFLLC\_TD\_to\_SCI\_Schwab\_signed.pdf]

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SDNY\_GM\_00012165

EFTA\_00122816

EFTA01268289