

# Account Transfer Form

## I. RECEIVING FIRM INFORMATION (Only one per form)

RECEIVING FIRM CLEARING NUMBER: **0443**

ACCOUNT NUMBER: [REDACTED]

SOCIAL SECURITY NUMBER

[ ][ ][ ] - [ ][ ] - [ ][ ][ ][ ]

or TAXPAYER IDENTIFICATION NUMBER:

[REDACTED]

SECONDARY SOCIAL SECURITY NUMBER:

[ ][ ][ ] - [ ][ ] - [ ][ ][ ][ ]

or TAXPAYER IDENTIFICATION NUMBER:

[ ][ ] - [ ][ ][ ][ ][ ][ ][ ]

ACCOUNT TYPE: (Enter the two character code)

**C O**

Nonretirement: **SN**—(Single) **JT**—(Joint) **TR**—(Trust) **CT**—(Cotrustee) **CO**—(Corporate) **CU**—(Custodian) **ES**—(Estate) **BC**—(Bank Custody) **AG**—(Agency)

Retirement: **IR**—(Traditional IRA) **RI**—(Roth IRA) **DR**—(Direct Rollover) **BI**—(Beneficiary) **BR**—(Beneficiary Roth IRA) **4K**—(401k) **EI**—(Education Savings Account) **SI**—(SIMPLE IRA) **QP**—(Qualified Plan) **4B**—(403b) **7B**—(457 Plan) **HS**—(Health Savings Account) **5P**—(529 Plan)

Other: **OT**—(Other)

## II. DELIVERING ACCOUNT INFORMATION

CLEARING NUMBER: \_\_\_\_\_

ACCOUNT NUMBER: [REDACTED]

FIRM NAME: **JPMorgan Chase Bank, N.A.**

ACCOUNT TITLE: (As it appears on your statement)

**Southern Financial, LLC**

DELIVERING FIRM CONTACT INFORMATION  
(MANDATORY WHEN CLEARING NUMBER IS NOT PROVIDED)

CONTACT NAME: \_\_\_\_\_

FIRM ADDRESS: (No. P.O. Box) \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

TELEPHONE NUMBER: \_\_\_\_\_

NOTE: A complete copy of your most recent statement is necessary to process this form.

## III. TRANSFER TYPE (Choose only one)

### A. ACCOUNT TRANSFER

FULL (Check one below)

TRANSFER ALL ASSETS IN KIND (Skip to Section VI)

LIQUIDATE ALL ASSETS LISTED IN SECTION IV (Liquidations are not for brokerage accounts)

TRANSFER ALL ASSETS IN KIND EXCEPT FOR THE ASSETS LISTED IN SECTION IV, WHICH REQUIRE LIQUIDATION

PARTIAL (Complete Section IV)

### B. DRS/DRIP

FULL (Check one below)

SELL FRACTIONS AND CLOSE ACCOUNT

TRANSFER ALL FULL SHARES ONLY

PARTIAL (List assets in Section IV)

NOTE: For transfer agents, electronically send positions or issue a certificate for whole shares and redeem fractional shares.

### C. DIRECT MUTUAL FUND

TRANSFER MUTUAL FUNDS FROM THE ACCOUNT HELD DIRECTLY AT THE FUND COMPANY (See list in Section IV for exact instructions)

NOTE: Only one fund family per form.

### D. BANK RETIREMENT PLAN ACCOUNTS (Select only one)

LIQUIDATE IMMEDIATELY AND TRANSFER CASH I am aware of and acknowledge any penalty I will incur from an early withdrawal.

LIQUIDATE AT MATURITY AND TRANSFER CASH Specify maturity date: (submit two to three weeks before maturity date).

NOTE: Liquidations involving bank CDs, checking accounts, or savings accounts can only be processed from retirement accounts.

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_



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