

Overview: - This ticket is used for Transferring Securities from Global plus account to another Institution or Global plus account.

Document can be accepted as per HRM Policy:

HRM Policy applies - Yes

Supporting Document - Yes, for the Cases in amount of \$50,000 and above only

Check Points:

- Check Position/holding need to verify that portfolio hold sufficient securities to transfer.
- Market Value -TAG will verify the market value mentioned in the case with the market value of securities in Global plus.
- For transfer of GIFT, please refer gift procedure as mentioned above.
- Accuracy of the case should be compared with attachment.
- HRM Policy is Exempt for Internal Security Transfer with same account name and signer.
- HRM policy is Exempt for Transfer to DB Alex Brown with same account name and signer.
- For Cases \$50,000 and above TAG will verify signature , Call back if fax, routing number and Chips id as per attachment.
- Free Delivery -From Global plus to Another Institution and Free Delivery-Mutual/Hedge Fund- From Global plus to Another Institution, required autoloader attached to the case if there are 10 or more securities to be transferred.

Fee Setup Global plus

Maintenance Fee Global plus

Overview: - Fee Set up Ticket is used for New Fee set up in Global plus Account. Maintenance Fee is used to do changes to existing.

For internal use only