

**3. TRANSFER INSTRUCTIONS—PLEASE COMPLETE ONLY ONE OF THE FOLLOWING SECTIONS (A, B, OR C)**

**A. BROKERAGE FIRM TRANSFER** (Unless otherwise indicated, TD Ameritrade will transfer in Full)

- Full Transfer—To transfer entire account, check here and skip to Section 4.
- Partial Transfer—List specific security and/or cash amount below. If bonds are being transferred, please supply the CUSIP.

Only whole shares can be requested as fractional shares cannot be transferred. Please contact the delivering firm regarding your options.

Asset Description (CUSIP or symbol) (Partial Transfers Only)	Quantity (Indicate # of whole shares or "ALL")	Asset Description (CUSIP or symbol) (Partial Transfers Only)	Quantity (Indicate # of whole shares or "ALL")
1. CASH	5,000,000	5. AMZN	1,000
2. GOOG	3,000	6. BABA	5,000
3. CVNA	25,000	7. BIIB	2,095
4. UTX	15,000	8. KPTI	25,000

**B. BANK/CREDIT UNION & ANNUITY TRANSFER**

Transfer cash only. Unless otherwise indicated, all cash will be transferred. Banks, Annuity, and Trust Companies require Original Client Signature. Please mail the Original form to complete the transfer request.

IRA Savings Accounts—Typically held with Bank/Credit Union.

- Total Transfer (Transfer entire account)
  - Partial Transfer (Transfer part of account) Portion to transfer \$ \_\_\_\_\_
- Wire (fees may apply)  
 Check

Certificates of Deposit (CDs).

- Redeem my CD immediately.  
*I am aware of, and acknowledge, that I am responsible for any penalties that I may incur from any early withdrawal.*
- Redeem my CD at maturity. Maturity Date: \_\_\_\_\_  
*Submit request at least 21 days prior to maturity. Please advise your bank not to roll over your CD to a new term.*

Indicate in this section whether you wish to liquidate the CD immediately or at maturity. For any investment instruments that have a renewal deadline, maturity date, surrender charge period/window, etc., paperwork must be received by TD Ameritrade in good order **three weeks** prior to the firm deadline to allow for proper processing times. To liquidate a CD held in a non-retirement account, contact the bank or credit union at which the assets are being held.

Annuity Transfer

- Transfer my Annuity
    - Full  Partial \$ \_\_\_\_\_
- I have an annuity policy that I wish to transfer. Please redeem and terminate on my behalf. I am aware of, and acknowledge, that I am responsible for any penalties that I may incur from any early withdrawal.*
- Wire (fees may apply)  
 Check

Select only one: Liquidate annuity in full or partial liquidation. If partial is selected, amount for partial must be included.

TD Ameritrade is not responsible for the timing or execution of liquidations processed by the delivering firm.

**C. MUTUAL FUND COMPANY TRANSFER**

Check box for In-kind or Liquidation Transfer. Please list the Symbol or CUSIP for the Mutual Fund(s) you wish to move. Unless otherwise Indicated, TD Ameritrade will transfer shares in-kind. This section pertains only to shares of Mutual Funds held directly with the fund company, for brokerage accounts containing Mutual Funds and/or Stocks please complete the Brokerage Firm Transfer section (Section 3A, above).

\*Proprietary Mutual Funds and all no-load Money Market funds cannot be transferred in-kind and must be liquidated.

Fund Name or Symbol	Mutual Fund Account #	Quantity (Indicate # of shares or "ALL")	Handling (Check one)	Gains & Dividends (Check one if In-kind)
			<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
			<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
			<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash

- \*If you are transferring more funds than will fit above, please include an attached list for the complete list of funds.
  - \*A statement **MUST** be included to ensure proper handling and processing of your Mutual Fund transfer.
  - \* Unless otherwise indicated, I authorize the Transferor to liquidate any non-transferable proprietary money market and mutual fund assets that are part of my account and to transfer the resulting credit balance to my account with TD Ameritrade. If the fund is unable to be held by TD Ameritrade, I (please initial here) \_\_\_\_\_ authorize the Transferor to liquidate and transfer as cash.
- Wire (fees may apply)  
 Check