

# Account Transfer Form

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

RECEIVING FIRM CLEARING NUMBER: **0443**

ACCOUNT NUMBER: [REDACTED]

SOCIAL SECURITY NUMBER: [REDACTED]

or TAXPAYER IDENTIFICATION NUMBER: [REDACTED]

SECONDARY SOCIAL SECURITY NUMBER: [REDACTED]

or TAXPAYER IDENTIFICATION NUMBER: [REDACTED]

ACCOUNT TYPE: (Enter the two character code) **CO**

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: **JP Morgan**

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)

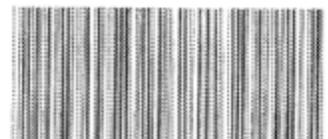
- LIQUIDATE IMMEDIATELY AND TRANSFER CASH I am aware of and acknowledge any penalty I will incur from an early withdrawal.
  - LIQUIDATE AT MATURITY AND TRANSFER CASH Specify maturity date: (submit two to three weeks before maturity date).
- NOTE: Liquidations involving bank CDs, checking accounts, or savings accounts can only be processed from retirement accounts.

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_



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