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: 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

RPD-150 ACAT