

Transfer of Assets Instructions

Complete this form to authorize the transfer of assets, currently at another firm, to your brokerage account. If you are transferring more than one account, complete one form per account. You may submit a photocopy of the transfer; however, we need an original signature on each form. If the account is a retirement account, the registration of the account being transferred should match the registration of your retirement account held at National Financial Services LLC ("NFS"). Certain registration differences can be addressed, as defined in the Receiving Account Information and Account Being Transferred instructions below.

Important Instructions – Read carefully before filling out the Transfer of Assets Form (TOA Form).

Include a complete copy of the most recent account statement for the account you are transferring with this form.

- All account owners/trustees/general partners must sign the TOA Form.
- If the account registrations do not match exactly, additional documentation may be required. Note that certain transfers for unlike registrations may not be permitted. Consult your investment professional prior to submitting your request.
- Additional documentation (such as a Durable POA Form or Trustee Certification of Investment Powers Form) may be required when an attorney-in-fact signs, or when there has been a change to individuals authorized to sign on behalf of the account.

Receiving Account Information and Account Being Transferred

The registration type and/or ownership of the account you are transferring should match the registration type and ownership of the account you maintain or are opening at NFS. Certain mismatches of registration type or ownership between accounts may be addressed by completing the Letter of Authorization Appendix at the end of the TOA Form, including:

- Individual to Joint or Individual to Trust (Owner A to Owner A and B or to Trust)
- Joint to Individual or Joint to Trust (Owner A and B to Owner A or to Trustee A or Trustee A and B)
- UGMA/UTMA to Individual or to Joint (Minor attained age of majority; if to a joint account minor must be one of the joint owners). Custodian must sign the transfer form.
- Between Traditional IRAs, Rollover IRAs, and SEP IRAs for the same owner.
- From a SIMPLE IRA to a Traditional or Rollover IRA. A 25% IRS penalty will apply for owners under 59 ½ years of age transferring from a SIMPLE IRA to an account that is not a SIMPLE IRA during the 2-year period beginning on the date when the first contribution was deposited.

Not all registration differences may be addressed on this form, including:

- One type of trust to a different type of trust account or where a common trustee does not exist.
- Individual to a different individual – transfers where there is not a common owner.
- Converting an IRA to a Roth IRA, or deconverting an existing Roth IRA.

Check first with your investment professional if you have any questions regarding registration differences.

Transfer Instructions

Brokerage account assets are transferred in kind. Mutual fund account assets may either be transferred in kind or liquidated and transferred as cash. Cash assets are deposited to your core account. If you are transferring mutual funds directly from the fund company, provide all fund/account numbers.

Some types of transfers require special arrangements or are subject to fees.

- If you hold proprietary mutual fund positions at your current firm, check with your broker/dealer to determine if these can be transferred. Certain proprietary funds may not be eligible for in-kind transfers.
- Proceeds from a bank CD may require up to four weeks to transfer. Unless otherwise indicated, proceeds from your CD will be transferred at maturity. Be advised that if your CD has a maturity date beyond 60 days we cannot accept your form.

Additional Information about Retirement Account Transfers

- By completing this form and sending it to your investment professional, you are authorizing NFS to request the transfer of your retirement assets currently at another firm to your Premiere Select IRA (including the Premiere Select Traditional IRA, Roth IRA, Rollover IRA, SEP IRA, IRA-BDA and Roth IRA-BDA) or the Premiere Select Retirement Plan, as applicable. The transfer is not a taxable event and will not be reported to the IRS. Certain securities cannot be held in Premiere Select IRAs or the Premiere Select Retirement Plan. Refer to the appropriate IRA Custodial Agreement or Premiere Select Retirement Plan document for more information.
- If you are transferring the assets from your qualified retirement plan(s) to the Premiere Select Retirement Plan, contact your tax advisor to determine if it is necessary to file Form 5310-A prior to the transfer.
- **Direct Rollovers.** This form may not be used to roll over directly an employer sponsored retirement plan, such as a 401(k) or 403(b). See your employer's human resources or pension administration office.

Additional Information

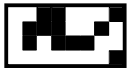
- **Possible Fees.** You may be responsible for liquidation, termination, surrender, and penalty fees when you transfer your assets. Check with the firm holding your assets for information regarding these fees.
- **Margin/Options.** If transferring option positions or positions requiring margin, an approved options or margin application must be on file with NFS.
- **Limited Partnerships.** "Master" limited partnerships can be held in any type of NFS account. Master LPs have symbols, trade on an exchange, and are priced on statements. "Public" limited partnerships, which do not have symbols and do not trade on an exchange, may only be held in NFS non-prototype retirement accounts.
- **Annuities.** If transferring cash from an annuity, always check with your insurance company to determine the paperwork it will require to be completed. Return all paperwork required by your insurance company with this form to your investment professional.

Owner Authorization and Signature

- All account owners/trustees/general partners on the NFS account must sign in this section.

Letter of Authorization Appendix

Complete this section only if you are transferring an account with differences in the name(s) or registrations from the account at NFS, as defined in the Receiving Account Information and Account Being Transferred instructions above. Account owners / trustees /general partners on the delivering account must sign in this section.



29276

Account Number

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Transaction ID

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Clearing through National Financial Services LLC ("NFS");
Clearing #0226

Transfer of Assets Form

Receiving Account Information

Primary Account Holder/Minor/First Name

Primary Account Holder/Minor/Trustee Last Name or Entity/Business/Trust Name

 SSN TIN

Joint Account Holder/Custodian/Trustee First Name

Joint Account Holder/Custodian/Trustee Last Name

RECEIVING ACCOUNT TYPE Check one

- Individual Corporate / Entity Traditional or Rollover IRA SIMPLE IRA Roth IRA BDA
- Joint UGMA / UTMA Roth IRA Qualified Plan *
- Trust Estate SEP IRA IRA BDA Other

Account Being Transferred - Complete a separate transfer form for each account you are transferring. Include a complete copy of your most recent statement to process this transfer

Delivering Firm Name

Account # (for mutual funds - see next page)

Delivering Firm's Address

Suite

City

State

Zip Code

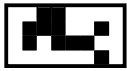
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Account Title (As it appears on your statement)

ACCOUNT TYPE BEING TRANSFERRED Check one

- Individual Corporate / Entity Traditional or Rollover IRA SIMPLE IRA Roth IRA BDA
- Joint UGMA / UTMA Roth IRA Qualified Plan *
- Trust Estate SEP IRA IRA BDA Other

* Qualified Plan options offered under the Premiere Select Retirement Plan include Profit Sharing and Money Purchase Plans



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Account Number

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Transfer Instructions - Complete either Section A, B or C (one section only). Continue on a separate sheet if needed.

A. BROKERAGE, TRUST COMPANY OR TRANSFER AGENT TRANSFER

Brokerage account transfers are in kind; liquidate assets at current firm prior to submitting this form if you wish to have assets transferred in cash.

1. Transfer all assets (money markets may be liquidated) 2. Transfer only part of my account, as detailed below:

Security Symbol or Name	# of Shares or "All"	Security Symbol or Name	# of Shares or "All"	Security Symbol or Name	# of Shares or "All"

B. MUTUAL FUND COMPANY TRANSFER - Complete a separate transfer form for each mutual fund company.

Name of Mutual Fund	Fund Account #	Symbol	# of Shares or "All"	Type of Transfer (Check One)	
				In-kind	Liquidate*
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>

*National Financial Services LLC is not responsible for market fluctuation on requests with written liquidation instructions.

C. BANK, CREDIT UNION OR ANNUITY TRANSFER

1. Transfer cash only. All cash will be transferred unless you indicate a different amount here \$

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2. Liquidate CD or Annuity immediately and send cash (I understand that I may incur a penalty for early liquidation.)
3. Liquidate CD at maturity and send cash. Maturity Date is

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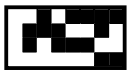
(Submit your request at least 21 days before maturity, but no more than 60 days before maturity.)
4. Annuity: Liquidate \$

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 I understand that I may incur a penalty for an early liquidation
5. Annuity: Liquidate only the amount available without a penalty



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Account Number

Account Number input boxes

Owner Authorization

To delivering firm: Please be advised that if I am transferring a qualified retirement plan account, I have amended my qualified retirement plan and have

adopted a new qualified retirement plan with [] or [] National Financial Services LLC, ("NFS")/Fidelity

Management Trust Company ("FMTC") as successor Trustee, and if I am transferring a non-retirement account, NFS is the successor custodian. Pursuant to said amendment, please transfer all assets in my account to such successor custodian/trustee. I understand that to the extent any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by New York Stock Exchange Rule 412 or similar rule of the National Association of Securities Dealers or other designated examining authority. Unless otherwise indicated in the Transfer Instructions section section, I authorize you to liquidate any nontransferable proprietary money market mutual fund assets that are part of my account and transfer the resulting credit balance to the successor custodian/trustee. I also understand that I will be notified by the delivering firm, and/or by the receiving firm with respect to the disposition of any other assets in my account that are non-transferable. I authorize you to deduct any outstanding fees due you from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance in the account is insufficient to satisfy any outstanding fees due you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy any outstanding fees due you. If certificates or other instruments in my account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor custodian/trustee to transfer them in its name for the purpose of sale, when and as directed by me. Upon receiving a copy of this transfer instruction, the delivering organization will cancel all open orders for my account on its books. I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me, if any, in connection with the account I have designated for transfer.

To receiving firm: If I am transferring to a Premiere Select Traditional IRA, Roth IRA, Rollover IRA, SEP-IRA, SIMPLE IRA, IRA-Beneficiary Distribution Account, Roth IRA-Beneficiary Distribution Account or to a Premiere Select Retirement Plan, I acknowledge that I have adopted a new Premiere Select Traditional IRA, Roth IRA, Rollover IRA, SEP-IRA, SIMPLE IRA, IRA-Beneficiary Distribution Account, Roth IRA-Beneficiary Distribution Account or the Premiere Select Retirement Plan, as applicable, with NFS, agent for FMTC as successor custodian/trustee and I agree to transfer only those assets which can be held in such account(s) as described in the relevant IRA Custodial Agreement or Plan Document. If I am over 70 1/2, I attest that this transfer will not violate the required minimum distribution rules under Section 401(a)(9) of the Internal Revenue Code. If I am transferring a Roth IRA, I understand that it is my responsibility to track the Five-Year Aging Date. If I am transferring a Traditional or Rollover IRA that is a different type from the Premiere Select IRA I currently maintain at NFS, I hereby authorize NFS to combine or "commingle" my IRA assets. I understand that I may forfeit the right to reinvest my Rollover IRA assets in another employer-sponsored retirement plan in the future. If I am transferring to a Premiere Select IRA-BDA or Premiere Select Roth IRA-BDA, I represent that this transfer is in compliance with the terms and conditions of the Custodial Agreement governing the decedent's IRA or the inherited IRA, as applicable. I accept full responsibility for complying with all BDA transfer requirements.

All Owners or Trustees of the NFS Account Must Sign this Form

By signing below, I (we) acknowledge reading and agree to the above terms and conditions.

Owner Name (Printed), Joint Owner Name (Printed), Date, Owner Signature, Joint Owner Signature, Medallion Signature Guarantee

Registered Rep/Financial Advisor Name, Branch

Registered Rep/Financial Advisor Name, Branch input box

Letter of Acceptance

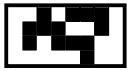
To the previous trustee or custodian: Please be advised that [] or [] National Financial Services LLC/

Fidelity Management Trust Company will accept the account described herein as successor custodian/trustee.

Successor Custodian, Trustee Signature

Date

Successor Custodian, Trustee Signature and Date input boxes



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Account Number

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Letter of Authorization Appendix

Complete this page ONLY if you are transferring an account that does not exactly match your NFS account. All delivering account owners must complete this section and sign below. Consult your legal or tax advisor regarding your personal situation. Additional documentation may be required to effect a transfer of assets between unlike registrations.

I (we) are transferring from (name of firm) registered as (name(s) on account)

and hereby authorize the transfer of this account to NFS, registered as

(name(s) on account).

Owner Name (Printed)

Joint Owner Name (Printed)

Joint Owner Name (Printed)

Signature

Signature

Signature

Date

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Date

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Date

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**Medallion Signature
Guarantee**

**Medallion Signature
Guarantee**

**Medallion Signature
Guarantee**

Letter of Authorizat on Appendix - required only if delivering account registration does not match your NFS account