



# RBC Dain Correspondent Services

Firm ID

Account Number

FC #

a division of RBC Dain Rauscher Inc. • member NYSE/SIPC

## ACCOUNT TRANSFER FORM

**Broker Change Only (Outside Trustees)**

Receiving Firm Clearing Number	0235	Carrying Firm Clearing Number	
Receiving Firm Account Number	---	Carrying Firm Account Number	
Account Tax Identification/Social Security Number		Carrying Firm Name	
Account Title			
<b>Account Type Check One:</b>			
<input type="checkbox"/> Single	<input type="checkbox"/> Corporate	<input type="checkbox"/> Custodial	<input type="checkbox"/> Other
<input type="checkbox"/> Joint	<input type="checkbox"/> Estate	<input type="checkbox"/> Trust	
		<input type="checkbox"/> IRA	<input type="checkbox"/> Simple IRA
		<input type="checkbox"/> Direct Rollover*	<input type="checkbox"/> Qualified
			<input type="checkbox"/> Roth IRA
			<input type="checkbox"/> 401 K

*\*Note: A Direct Rollover is a Distribution which is reportable to the IRS.*

### GENERAL TERMS/AGREEMENT OF YOUR ACCOUNT TRANSFER

Unless otherwise indicated in the instructions below, please transfer all assets in my account to RBC Dain Correspondent Services, a division of RBC Dain Rauscher Inc. Member NYSE/SIPC without penalties. I understand that to the extent any assets in my account are not readily transferable, 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, Inc. or other designated examining authority.

Unless otherwise indicated in the instructions below, I authorize you to liquidate any non-transferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to RBC Dain Correspondent Services. 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 the obligation. If certificates or other instruments in my account are in physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable RBC Dain Correspondent Services to transfer them in its name for the purpose of sale, when and as directed by me. I understand that upon receiving a copy of this transfer instruction, you will cancel all open orders for my account on your books. I understand that you will contact me with respect to the disposition of any assets in my account that are non-transferable.

### Complete Only for Non-ACAT or Partial Transfers

In accordance with New York Stock Exchange Rule 412, all eligible transfers will be completed through the automated transfer system. If this transfer is deemed eligible, the assets in this account will transfer in kind. If this transfer is deemed ineligible, the account will be manually transferred to the appropriate financial institution or broker-dealer. Please indicate the appropriate transfer options to be utilized if this account needs to be manually transferred:

Carrying Firm Address: \_\_\_\_\_

Transfer all securities in-kind.

Transfer the free credit balance.

**Liquidate** all assets and send proceeds.

Re-Register Mutual Funds

**PARTIAL TRANSFER.** Only the following assets:

Forward proceeds upon MATURITY date of \_\_\_\_\_

**Liquidate** CD/Annuity IMMEDIATELY and send proceeds. (I am aware of and acknowledge the penalty that I will incur from early withdrawal.)

**Liquidate** Mutual Fund ( Choose One )

Full or  Partial Amount \$ \_\_\_\_\_

Fund Name: \_\_\_\_\_

Fund Account Number: \_\_\_\_\_

Please see attached delivery instructions or call RBC Dain Correspondent Services ACAT Department at (612) 607-8229 Opt. 5

### Customer(s) Signature(s) - Joint Accounts require all parties to sign.

➔ \_\_\_\_\_  
Signature Date

➔ \_\_\_\_\_  
Signature Date

Medallion Signature Guarantee is required for Non-ACAT or Partial Transfers.

### Complete for all Retirement Account Transfers

If this account is a qualified retirement account, I have amended the applicable plan so that it names as successor custodian the trustee listed below. If I am over 70 1/2 ; I attest that none of the amounts to be transferred from my retirement accounts will include the minimum distribution pursuant to Section 401(a)(9) of Internal Revenue Code for the current year.

To the prior Trustee/Custodian: RBC Dain Rauscher Inc. has an approved and qualified plan, and we will accept the transfer of assets to this plan. Please be advised that the new account name will read RBC Dain Rauscher Inc. as Custodian for the above named client. Custodian Tax ID #41-1416330

Successor Custodian/Trustee Authorized Signature ➔ \_\_\_\_\_

### Complete for All Mutual Fund Re-Registrations or Broker-Dealer Change

**NOTE: All Mutual Funds eligible for networking will be networked. Mutual Fund dividend and capital gains options will automatically reinvest, if box is not checked.**

DIV = Mutual Fund Dividend  
LTCG = Long Term Capital Gains  
STCG = Short Term Capital Gains

#### CHOOSE ONE OPTION ONLY

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> 0 = Cash DIV - Cash LTCG - Cash STCG             | <input type="checkbox"/> 3 = Cash DIV - Reinvest LTCG - Reinvest STCG | <input type="checkbox"/> 6 = Reinvest DIV - Reinvest LTCG - Cash STCG |
| <input type="checkbox"/> 1 = Reinvest DIV - Reinvest LTCG - Reinvest STCG | <input type="checkbox"/> 4 = Cash DIV - Reinvest LTCG - Cash STCG     | <input type="checkbox"/> 7 = Reinvest DIV - Cash LTCG - Reinvest STCG |
| <input type="checkbox"/> 2 = Cash DIV - Cash LTCG - Reinvest STCG         | <input type="checkbox"/> 5 = Reinvest DIV - Cash LTCG - Cash STCG     |   |

Financial Consultant's Name: \_\_\_\_\_ FC Number: \_\_\_\_\_

Address: \_\_\_\_\_ Dealer Number: \_\_\_\_\_

A copy of your most recent statement is necessary for this form to be processed

RBC Dain Rauscher Inc. Delivery Instructions

Receiving Firm Information

**Name and Address:** RBC Dain Rauscher Inc.  
510 Marquette Avenue South  
Minneapolis, MN 55402-1106

Tax ID: 41 -1416330  
Phone: (612)607-8492  
Fax: (612)607-8224

Delivery instructions must include client 's name and account number.

<b>DTC Eligible Securities:</b>	#0235
<b>Physical Checks:</b> (Please print T/A & our account #)	RBC Dain Rauscher Treasury Lock Box For the account of: <input type="text"/> SD 12 -1190 P.O.Box 86 Minneapolis, MN 55486 -1190
<b>Physical Delivery:</b> (Please print T/A & our account #)	RBC Dain Rauscher Inc. For the account of: <input type="text"/> 510 Marquette Avenue South, Attn: MO8 - Acct Trf Minneapolis, MN 55402
Through the House Federal Funds	Envelope Y - #235 / NSCC 's New York Facility NSCC/New York Window Attn: Carl 55 Water Street 3rd Floor - Plaza Level RBC Dain Rauscher Inc.
<b>Euroclear Securities:</b>	Bank of New York Acct: 218300 Euroclear 21430 For RBC Dain Rauscher Acct: <input type="text"/>
<b>Foreign Securities:</b>	Merrill Lynch Acct: 64U-80235 For RBC Dain Rauscher Acct: <input type="text"/>
<b>Commercial Paper,Bankers Acceptance:</b>	Bank of New York Acct:DRG 1 Wall Street 3rd Floor Window B - Securities Processing New York, NY 10015
<b>GNMA Book Entry (PTC):</b>	BNDRG, Further credit the account of:
<b>Government Wireable:</b>	Bk of NYC/DRG, ABA # : 021000018 Further credit the account of: <input type="text"/>
<b>Wired Funds:</b>	US Bank, ABA #: 091000022 Acct # 160230097208/ RBC Dain Rauscher Inc. Further credit the account of: <input type="text"/>
<b>Mutual Funds:</b>	<b>IRA Accounts:</b> RBC Dain Rauscher Inc. Custodian FBO: <input type="text"/> Acct #: <input type="text"/> 510 Marquette Avenue South, Attn:MO8-Acct Trf Minneapolis, MN 55402 Tax ID:41-1416330
<b>Broker Dealer Instructions:</b> (If Clearing Agreement Exists with RBC Dain Correspondent Services)	<b>Cash Accounts:</b> RBC Dain Rauscher Inc. FAO: <input type="text"/> Acct #: <input type="text"/> 510 Marquette Avenue South, Attn:MO8 -Acct Trf Minneapolis, MN 55402
Dealer # <input type="text"/> Broker 's Name <input type="text"/> <b>Correspondent Firm 's Name and Address:</b> <input type="text"/>	