ETC
BROKERAGE SERVICES℠

ACCOUNT TRANSFER

INSTRUCTIONS & GUIDELINES

Use this form to transfer an account to ETC Brokerage Services ("ETC Brokerage").

When completing your ***Account Transfer Form***, please follow these guidelines**:**

- Be sure to complete **ALL** sections of the ***Account Transfer Form***.
- **Original copies** of the ***Account Transfer Form*** must be submitted, unless you have received permission from your current Trustee/Custodian that a faxed or scanned copy will be accepted.
- Contact your current Trustee/Custodian to inquire if a Medallion Signature Guarantee is required. If required, one should be obtained from an authorized member of the **Securities Transfer Agents Medallion Program (STAMP)**. Check with your local bank or broker/dealer to see if they offer this service. ***Note: a Notary Public is not acceptable.***
- You **MUST** submit a copy of a current statement (dated within the last 6 months) for the account you are transferring from along with the ***Account Transfer Form***.
- For each account that is being transferred to ETC Brokerage, you **MUST** complete a separate ***Account Transfer Form***.
- If you are rolling over an account from a Qualified Plan, please contact your plan administrator to verify if additional forms are required and for eligibility.
- If you are transferring an annuity, you **may incur** surrender/penalty charges. Please attach the original policy or a statement of loss.
- **If you are transferring a Brokerage Account and wish to transfer as cash, you will need to liquidate the appropriate assets prior to completing and submitting the *Account Transfer Form*.**

SUBMISSION OPTIONS

OVERNIGHT:
ETC Brokerage Services
1 Equity Way
Westlake, OH 44145

REGULAR MAIL:
ETC Brokerage Services
P. O. Box 451249
Westlake, OH 44145

Fax/e-mail this form to ETC Brokerage ONLY if you have confirmed with your current custodian they will accept the
Account Transfer Form via fax/e-mail.

BY FAX:
440-365-1447

BY EMAIL:
ETCBrokerage@ETCBrokerage.com

CONTACT INFORMATION

For assistance, please contact:

Phone:

(877) 819-8918

Or E-Mail questions to:

ETCBrokerage@ETCBrokerage.com

DO NOT FAX OR MAIL THIS COVER PAGE

INVESTMENT PRODUCTS: NOT FDIC INSURED - NO BANK GUARANTEE - MAY LOSE VALUE

Reset Form

ETC BROKERAGE SERVICES℠

ACCOUNT TRANSFER

ETC Brokerage Services' DTC Number: 3505

1 ACCOUNT INFORMATION

ACCOUNT REGISTRATION		ETC BROKERAGE ACCOUNT NUMBER*
SOCIAL SECURITY NUMBER	DATE OF BIRTH	PHONE NUMBER
EMAIL ADDRESS		

**If you have not previously established an ETC Brokerage account to receive your transfer, you must include an account application with this form.*

2 DELIVERING ACCOUNT INFORMATION

NAME OF CURRENT TRUSTEE or CUSTODIAN		ACCOUNT NUMBER	
STREET ADDRESS (Physical Address Required)	CITY	STATE	ZIP CODE
CUSTODIAN TELEPHONE NUMBER *(please include area code)*	CUSTODIAN FAX NUMBER**	ESTIMATED TRANSFER VALUE $	

*** Contact your current Trustee/Custodian to confirm the address where transfer paperwork should be sent and/or if faxed copies are acceptable.*

REQUIRED: Attach a copy of the most recent account statement. If changes (trades) have been made since the statement date provide an update of your account holdings (i.e., screen print) in addition to the statement.

3 ACCOUNT COMPATIBILITY

Account Type Being Transferred:

- ☐ Traditional IRA
- ☐ Roth
- ☐ SEP
- ☐ SIMPLE
- ☐ Beneficiary IRA

Deceased ______________

- ☐ HSA
- ☐ CESA
- ☐ Qualified Plan
- ☐ Qualified Plan - Roth
- ☐ Other (Taxable/Non-Qualified)

Type______________________

To ETC Brokerage Account Type:

- ☐ Traditional
- ☐ Roth
- ☐ SEP
- ☐ SIMPLE
- ☐ Beneficiary IRA

Deceased ______________

- ☐ HSA
- ☐ CESA
- ☐ Other (Taxable/Non-Qualified)

Type______________________

- ☐ Custodial Account (for Qualified Plan)

Transfer must be between same or compatible account types.

NOTE: Authorized signature(s) in Section 7 acknowledges and authorizes transfers between unlike account types.

4 TRANSFER INSTRUCTIONS

Type of Transfer *(check one in A and one in B below)*

A	☐ Transfer	☐ Direct Rollover
B	☐ Full (Close Account) Provide further instructions: ☐ Transfer all assets in-kind ☐ Liquidate* all assets and transfer as cash	☐ Partial Provide detail in Section 6

Important:

- The term "liquidate all assets and transfer proceeds" will result in all marketable securities to be sold and cash proceeds will be forwarded.
- The term "in-kind" refers to the re-registration of a stock, mutual fund, etc. from the prior Trustee/Custodian's name to ETC Brokerage Services.
- If only a partial transfer of certain asset(s) is desired, please complete Section 6 and list all assets to be liquidated or transferred in-kind in the spaces provided as well as mark the appropriate box.

***NOTE: For all liquidation requests, contact your current Trustee/Custodian to initiate the liquidation process.**

5 DIVIDEND/CAPITAL GAINS INSTRUCTIONS

For Mutual Fund Transfers in-kind, provide your dividend election below: *(check one box only)*

- ☐ Reinvest all mutual fund dividends and capital gains.
- ☐ Have all mutual fund dividends and capital gains paid in cash to my account.
- ☐ Have all mutual fund dividends paid in cash and reinvest capital gains.
- ☐ Attached is a Letter of Instruction specifying mutual fund dividend and capital gains elections by mutual fund.

NOTE: If you do not make an election above, ETC Brokerage will apply Cash as the default election for mutual fund dividends and capital gains.

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ACCOUNT TRANSFER

Account Number ____________________

6 PARTIAL TRANSFER ONLY

DESCRIPTION OF ASSET(S)	QUANTITY (All, # of Shares, or Value	INSTRUCTIONS (Please check one box per asset)
1.		☐ Liquidate or ☐ In-Kind
2.		☐ Liquidate or ☐ In-Kind
3.		☐ Liquidate or ☐ In-Kind
4.		☐ Liquidate or ☐ In-Kind
5.		☐ Liquidate or ☐ In-Kind
6.		☐ Liquidate or ☐ In-Kind

IMPORTANT NOTE: For all liquidation requests, contact your current Trustee/Custodian to initiate the liquidation process.

7 SIGN and DATE

- ***A notary public CANNOT provide a Medallion Signature Guarantee.***
- ***A signature guarantee can be obtained from your bank.***
- ***If your current Trustee/Custodian does not require a Medallion Signature Guarantee, you can simply sign and date this form.***

I certify that I have established or will establish a Self-Directed Account with the Custodian/Trustee named below. I agree to the terms of this form. I understand that I am responsible for determining my eligibility for all transfers and I agree to indemnify and to hold the Custodian/Trustee harmless against any and all situations arising from an ineligible transfer. I acknowledge that the Custodian/Trustee cannot provide legal advice and I agree to consult with my own tax professional for advice.

Authorized Officer to Place "Medallion Signature Guarantee" Stamp Here

PRINT ACCOUNT OWNER'S NAME	ACCOUNT OWNER'S SIGNATURE	DATE
PRINT JOINT ACCOUNT OWNER'S NAME (if applicable)	JOINT ACCOUNT OWNER'S SIGNATURE (if applicable)	DATE

LETTER OF ACCEPTANCE - FOR OFFICE USE ONLY

ETC Brokerage Services accepts the appointment as successor Custodian on behalf of the depositor and requests the transfer and/or liquidation of assets as instructed above.

Authorized Signature, ETC Brokerage: ______________________________

Date: ___________________

Place "Medallion Signature Guarantee" Stamp Here

P. O. BOX 451249 • WESTLAKE, OH 44145 • PHONE: 877-819-8918 • FAX: 440-365-1447 • EMAIL: ETCBROKERAGE@ETCBROKERAGE.COM

The following is a list of documents required when an asset is being transferred. If the original document is not available a copy must be included at the time the ***Account Transfer Form*** is submitted.

Asset Being Transferred*	**Documents Required**
Forex:	Copy of Foreign Currency Application
General:	
Annuities	Annuity Agreement
Land Contract	Land Contract Agreement
Lease Agreement	Lease Agreement
Mobile Homes	Mobile Home Title
Oil & Gas Venture	• If not part of a Joint Venture, then only the Agreement • If part of a Joint Venture, the requirements of Joint Venture on Entity DOI
Options	Option Agreement, Maturity Date
Structured Settlement	Copy of Settlement Agreement (original if available), original Assignment or original Contract, copy of the Court Order transferring (it it exists)
Private Debt:	
Corporate Debt / Equity (Unsecured Notes)	Certificate of LP filed with the State or Articles of Organization or Articles of Incorporation
Note Secured by Collateral other than Real Property	Copy of the note stating the associated collateral and the assignment of the note and associated collateral
Note Secured by Real Property	Copy of the note, recorded Deed of Trust/Mortgage and the assignment of the note and Deed of Trust/Mortgage
Unsecured Note	Copy of the note and the assignment of the note
Private Equity:	
Joint Venture	Joint Venture Agreement
Land Trust	Land Trust Agreement
Limited Liability Company	Articles of Organization, Operating Agreement, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Limited Partnership	Certificate of Limited Partnership filed with the State, Limited Partnership Agreement signed by retirement account holder, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Private Stock/C-Corporation	Articles of Incorporation, By-Laws, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Real Estate:	
Real Estate (includes pre foreclosure, subject to's and short sales)	Copy of the recorded deed and the quit claim deed (or other deed) that will transfer ownership of the property
Tax Lien:	Evidence of ownership from the county
*A copy of the Previous Custodian's Statement is required with all assets being transferred.	

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