Reset Form

EQUITY TRUST COMPANY®

ACCOUNT TRANSFER FORM

IMPORTANT INFORMATION

- If you have not previously established an Equity Trust Company account to receive your transfer, you must include an account application with this form.
- Each account that is being transferred requires a separate Account Transfer Form.
- For all liquidation requests, contact your current Custodian to initiate and complete the liquidation process prior to submitting the Account Transfer request with Equity Trust Company.
- Note: The term "in-kind" refers to the re-registration of an alternative investment from the prior Custodian's name to Equity Trust Company.
- Some Custodians require a Medallion Signature Guarantee to process a transfer, please contact your current Custodian to determine if this is required.

1 ACCOUNT INFORMATION

ACCOUNT HOLDER NAME	ACCOUNT NUMBER ASSIGNED BY EQUITY TRUST
SOCIAL SECURITY NUMBER	DATE OF BIRTH (optional)

2 CURRENT CUSTODIAN INFORMATION *(Provide a copy of your most recent statement dated within the last 90 days.)*

ACCOUNT REGISTRATION (as it appears on the statement)		ACCOUNT NUMBER (as it appears on the statement - one per form)	
NAME OF COMPANY		ESTIMATED TRANSFER VALUE $	
STREET ADDRESS (Physical Address Required)	CITY	STATE	ZIP CODE
PHONE		FAX*	

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

ATTACH A COPY OF YOUR MOST RECENT STATEMENT FROM YOUR CURRENT CUSTODIAN

3 ACCOUNT COMPATIBILITY

Account Type Being Transferred:

- ☐ Traditional IRA
- ☐ Education (CESA)
- ☐ Roth IRA
- ☐ HSA
- ☐ SEP IRA
- ☐ Qualified Plan[ex. 401(k)]
- ☐ SIMPLE
- ☐ Qualified Plan - Roth[ex. 401(k)]
- ☐ Taxable Account (i.e., Individual, Joint Tenant WROS, Trust, etc)

Type____

- ☐ Check here if this is an inherited account

→

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Note: Transfer must be between same or compatible account types.

4 PROCESSING PREFERENCE *(Choose how you would like this form processed and sent to your current Custodian)*

☐ **EXPRESS TRANSFER SERVICE** (See Fee Schedule)

- If corrections are needed, processing will stop until corrections have been made.
- Overnight mail and/or wire service (if applicable) are included.

☐ **SEND OVERNIGHT VIA THIRD PARTY BILLING**

☐ FedEx ☐ UPS

THIRD PARTY BILLING ACCOUNT NUMBER

THIRD PARTY ZIP CODE

☐ **OVERNIGHT MAIL SERVICE** (See Fee Schedule)
Your transfer form will be sent overnight.

☐ **NORMAL MAIL PROCESSING**

5 FEE INFORMATION

A copy of the fee schedule can be found here: https://www.trustetc.com/etcb/. If you have a managed account, please contact your Advisor for your account's specific fee schedule. Any applicable fees will be deducted from your available cash in your Equity Trust account. Should your Equity Trust account not have available cash, you agree that fees can be deducted from your available cash in your ETC Brokerage Services account(s). To avoid any processing delay, please ensure that your account at Equity Trust maintains available cash to process the pending transaction.

EQUITY TRUST COMPANY

6 TRANSFER INSTRUCTIONS FOR CURRENT CUSTODIAN

TYPE OF TRANSFER

☐ Full Transfer ➡ ☐ Cash Only ☐ Transfer all assets in-kind
Liquidation(s) must be completed prior to transfer request

☐ Partial Transfer ➡ Cash Amount (if applicable)
$ ______________________

Are any of the assets being transferred Hemp related investments?
If so, check here: ☐

Documents Required:
All documentation for the investment type as listed on page 3, Addendum to Direction of Investment, Hemp related license/permit/registration.

LIST ASSETS FOR PARTIAL TRANSFER BELOW	NUMBER OF SHARES OR VALUE
1.	
2.	
3.	
4.	

If more lines are necessary to list additional assets, attach a separate sheet titled "Asset Sheet".

☐ **Yes, an additional Asset Sheet is attached. Please remember to sign and date.**

7 INSTRUCTIONS FOR DELIVERY *(Choose how you want your current Custodian to deliver your assets to Equity Trust Company.)*

FUNDS AVAILABLE IMMEDIATELY UPON RECEIPT

GENERAL REQUIREMENTS
All deliveries must include the Account Owner's Name and Equity Trust Company Account Number. Proprietary money markets must be liquidated and delivered as cash. Send Cost Basis information via Fax to 440-365-1447 or Email Operations@Innovayte.com. Include CASE # when available.

☐ **Incoming Wire Transfer** (*See Fee Schedule, included if you selected Express Transfer Service)*

☐ **Regular Mail/Cashier's Check**

☐ **Overnight Mail/Cashier's Check**

FUNDS AVAILABLE UP TO 3 BUSINESS DAYS AFTER RECEIPT

☐ **Regular Mail/Cashier's Check**

☐ **Overnight Mail/Regular Check**

WIRE TO: BMO Harris Bank
320 South Canal Street
Chicago, IL 60606
RT # if wire originates in the US: 071000288

For Credit To:
Equity Trust Company
Westlake, OH 044145
Account# 1719640

For Further Credit To:
Account Holder Name
Account Number

A wire is preferred, if no fee. Otherwise, please send check to the address below:

OVERNIGHT MAIL:
Equity Trust Company
Attn: Innovayte Operations
1 Equity Way
Westlake, OH 44145

REGULAR MAIL:
Equity Trust Company
Attn: Innovayte Operations
P.O. Box 451249
Westlake, OH 44145

MAKE CHECKS PAYABLE TO:
Equity Trust Company
Custodian FBO Account Holder Name, Account #

ALTERNATIVE INVESTMENT REGISTRATION INFORMATION

RECEIVING FIRM INFORMATION:
Equity Trust Company

REGISTER ALTERNATIVE INVESTMENTS TO:
Equity Trust Company
Custodian FBO Account Owner's Name(s), Account #
Attn: Alternative Investments at Innovayte
1 Equity Way
Westlake, OH 44145
EIN: 05-0552743

8 ACCOUNT HOLDER SIGNATURE

- A notary public CANNOT provide a Medallion Signature Guarantee.
- A signature guarantee can be obtained from your bank.
- If your current 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 named below. I agree to the terms of this form. I understand that I am responsible for determining my eligibility for transfers and confirm that any investment transferred is not illegal or impermissible under South Dakota or Federal Law. I agree to indemnify and to hold the Custodian harmless against any and all situations arising from an ineligible transfer. I acknowledge that the Custodian cannot provide legal advice and I agree to consult with my own tax professional for advice.

SIGNATURE OF ACCOUNT OWNER	DATE
SIGNATURE OF JOINT ACCOUNT OWNER	DATE

AUTHORIZED OFFICER TO PLACE "MEDALLION SIGNATURE GUARANTEE" STAMP HERE

LETTER OF ACCEPTANCE - FOR OFFICE USE ONLY
Equity Trust Company 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, EQUITY TRUST COMPANY	DATE

PLACE "MEDALLION SIGNATURE GUARANTEE" STAMP HERE

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
ENTITY:	
Limited Partnership	Operating Agreement, Subscription Agreement, PPM, Exhibits & Investor Questionnaire (if applicable), Filed Articles of Organization, transfer form
Limited Liability Company	Operating Agreement, Subscription Agreement, PPM, Exhibits & Investor Questionnaire (if applicable), Filed Articles of Organization, transfer form
Land Trust	Copy of Executed Land Trust Agreement, Assignment of Land Trust, Transfer Form
Private Stock/C-Corporation	Filed Articles of Organization, Operating Agreement, PPM/Sub Doc + Exhibits (if applicable), Transfer Form
Joint Venture	Joint Venture Agreement
GENERAL:	
Oil & Gas Venture	• If not part of a Joint Venture, then only the Agreement • If part of a Joint Venture, the requirement of Joint Venture listed above

**A copy of the Current Custodian's Statement is required with all assets being transferred.*