

Use these instructions to complete the attached Account Transfer Form (F2). Please print or type all responses to assist in processing the transfer in the most efficient manner. Attach a complete copy of the account holder's most recent statement (dated within 90 days) to each transfer form. Forms will not be processed unless an account holder statement is attached.

Instructions

1. Fill in the LPL account number (only one per form), the social security/tax ID number as registered at LPL (if delivering firm social security number is incorrect, it must be corrected at delivering firm prior to submittal), and the LPL account registration. Select the appropriate LPL account type. If processing a transfer from one 403(b)(7) contract to a LPL 403(b)(7), a LPL Information Sharing Agreement (FR116) is required. In addition plan administrator and/or employer signatures are required.
2. Fill in the account number of the account you are transferring to LPL (only one per form):
 - Account holder number, group ID number, or customer number are not valid account numbers.

Fill in the account registration exactly as it appears on the delivering firm statement for the account you are transferring. If the social security/tax ID number at the delivering firm is different than what is on the account at LPL, please populate that number in this section. This section is not to be used to provide instructions to change or fix the social security/tax ID number at either the receiving or delivering firm. For non-ACAT transfers only, enter the delivering firm telephone number and street address (no P.O. boxes).
3. You must select the type of transfer on the form. Note: LPL is not responsible for market fluctuation on ALL transfer requests.
 - A. In Kind Transfers
 - Transfer ALL assets in-kind. Select for ACAT, Mutual Fund or non-ACAT transfers. Certain product types do not allow transfers in-kind and must be funded with cash.
 - Transfer only part of my account in-kind. Only the assets indicated on the form will be transferred. Exact quantities are required (no percentages). Provide all information (CUSIP/Symbol and Number of Shares) for each asset. Brokerage: Fill out space provided and if transferring more than four positions, attach an account holder-signed and dated list to the transfer form. Mutual Funds: If transferring more than four mutual fund assets, use section 4 for the remaining positions. If there are more than 14 mutual fund positions to transfer, attach an account holder-signed and dated list to the transfer form. Highlighted statements are not acceptable.
 - Direct Registration Shares (DRS). Social security/tax ID number at the transfer agent is required and may differ from that at LPL.
 - Dividend Reinvestment Plan. If not DRS eligible please instruct Transfer Agent to issue a certificate for whole shares and redeem fractional shares and issue a check.
 - B. Liquidation Transfers
 - Liquidate ALL assets and transfer as cash. Indicate in this section if you wish to liquidate ALL assets and transfer as cash. LPL is not responsible for the timing or execution of liquidations to be processed by the delivery firm.
 - Transfer cash only. Unless otherwise indicated all cash will be transferred.
 - Liquidate only part of my account and transfer as cash. Only the assets indicated on the form will be liquidated and transferred as cash. Exact quantities are required (no percentages). Provide all information (CUSIP/Symbol and Number of Shares) for each asset. If liquidating more than four assets, use section 4 for the remaining positions. If there are more than 14 positions to liquidate, attach an account holder-signed and dated list to the transfer form. Highlighted statements are not acceptable.

Note: For mutual fund transfers where the client is transferring part of their mutual funds in kind as well as liquidating a portion of their mutual funds, select 3A transfer only part of my account in-kind AND 3B liquidate only part of my account and transfer as cash.
 - C. Annuity & CD Transfers
 - Liquidate annuity and surrender as cash. Select only one: Liquidate annuity in full or partial liquidation, and amount of annuity without penalty for early liquidation. Contact the insurance company to determine whether surrender forms are required before submitting the transfer form to LPL. Attach surrender form if applicable. LPL is not responsible for the timing or execution of liquidations processed by the delivering firm.
 - Certificates of deposit (CDs). Indicate in this section whether you wish to liquidate the full or partial amount of the CD immediately or at maturity. Send liquidation requests to LPL three weeks prior to maturity to allow for proper processing times. To liquidate a CD held in a non-retirement account, complete the Cash Transfer Form (F32) and submit it directly to the bank or credit union at which the assets are being held.
4. Addendum (Mutual Fund Transfers only): This section is optional and can be used if the client has a mutual fund transfer of more than 4 positions (from section 3A or 3B) or for mutual fund transfers that are the same delivering account and registration type but varying fund account numbers. Only the assets indicated on the form will be transferred. Exact quantities are required (no percentages). Provide all information (CUSIP/Symbol, Number of Shares and Liquidate or In Kind instructions) for each asset. If transferring more than 14 assets, attach an account holder-signed and dated list to the transfer form. Highlighted statements are not acceptable.
5. All LPL account holders (clients or trustees) as indicated by the account registration must sign this section. Registration differences: All parties involved must sign this section. Note: This is not to be used as a replacement for a "one and the same letter".

Special Notes

ACAT (Automated Customer Account Transfer). An ACAT is a transfer of all assets, in-kind, from another ACAT-eligible firm. Certain positions (e.g. proprietary funds) may not be transferred. If you decide to liquidate such non-transferable positions, you will need to liquidate the positions prior to submitting this form for an ACAT. Liquidation requests will NOT be honored for ACAT-eligible transfers. A list of ACAT-eligible firms can be found on the Account Transfers page of the Resource Center.

Non-ACAT. A non-ACAT is a transfer of assets from a non-ACAT-eligible firm (i.e. bank, credit union, mutual fund company, annuity/insurance company).

Physical securities. Should physical securities be transferred in account holder name or non-negotiable, you will be required to obtain any additional documentation requested to complete the transfer.

Maturity or renewal dates. For any investment instruments that have a renewal deadline, maturity date, surrender charge period/window, etc., paperwork must be received by LPL in good order three weeks prior to the contra firm deadline to allow for proper processing times.

Private Trust Company, N.A. retirement accounts. All termination fees charged by the prior custodian should be paid to the prior custodian before the transfer of assets. Please be advised that any private placement or private securities transaction that has not been approved by LPL must go through a separate compliance review process prior to submitting this transfer form.



Account Transfer

AT1

Account Number

Rep ID

Instructions: Attach a complete copy of the client's most recent statement (dated within 90 days) in order for the transfer to be processed. *Mail completed original forms with all attachments to LPL Financial, Account Transfers, 4707 Executive Drive, San Diego, CA 92121 or for a list of firms that will accept faxed copies, please refer to the [BranchNet Resource Center | Operations | Account Transfers](#) page and fax to (858) 202-8325.

Receiving Firm Clearing Number

Delivering Firm Clearing Number

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Account Information

1. Your LPL Account

Account Registration

Social Security/Tax ID Number (Primary)

Social Security/Tax ID Number (Secondary if applicable)

Account Type (select one)

- Individual Trust Traditional or Rollover IRA
- Joint Estate Roth IRA
- Qualified Plan UGMA/UTMA SIMPLE IRA
- 403(b)7 SEP IRA Beneficiary IRA
- Corporate/Business Roth Beneficiary IRA
- Other:

2. Account Being Transferred

Account Number (ONLY ONE PER FORM)

Account Registration

Secondary Social Security/Tax ID Number (If applicable)

Delivering Firm Name

Delivering Firm Street Address

Phone Number

Account Type (select one)

- Individual Trust Traditional or Rollover IRA
- Joint Estate Roth IRA
- 403(b)7 UGMA/UTMA SIMPLE IRA
- Qualified Plan SEP IRA Beneficiary IRA
- Corporate/Business Roth Beneficiary IRA
- Other:

Transfer Instructions (You must complete section A, B and/or C below) Attach a separate sheet (account holder signed and dated) if you have additional assets to transfer after using all spaces in section 3 and/or 4. *LPL is not responsible for market fluctuation on ALL transfer requests. ** Note: You may have assets that cannot be transferred to LPL (e. g., mutual funds, variable annuities, CDs or alternative investment products proprietary to your former firm). You may incur costs to liquidate and transfer those assets or inactivity fees to leave those assets at your former firm.

3. A. In Kind

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.

- Transfer ALL assets in kind
- Transfer only part of my account in kind, as detailed below:

CUSIP/Symbol	Number of Shares or "All"
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
- Direct Registration Shares

Number of Shares or "All"

Sell Fractions and Close Account
- Dividend Reinvestment Plan

If not DRS eligible please instruct Transfer Agent to issue a certificate for whole shares and redeem fractional shares and issue a check.

B. Liquidation

For banks, credit unions, mutual funds and trust companies only

- Liquidate ALL assets and transfer as cash
- Transfer cash only. All cash will be transferred unless you indicate a different amount to transfer here:

\$
- Liquidate only part of my account as detailed below:

CUSIP/Symbol	Number of Shares or "All"
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

For alternative investment transfers, dividends are defaulted to cash for securities where DST is the transfer agent.

For mutual fund transfers, dividend and capital gain options are defaulted to reinvest.

C. Annuity and CD

*Important Annuity Information: To transfer your annuity assets, a surrender or liquidation of your annuity contract assets must generally occur. This may result in the following consequences: surrender charges, loss of vested living or death benefits, taxable earnings and possible tax penalties.

To liquidate an Annuity complete section (s) below:

- Liquidate Annuity in FULL and send cash. I understand that I may incur a penalty for early liquidation.
- Partial Annuity Liquidation

Liquidate \$ OR

Only the amount of annuity available without a penalty

To liquidate a CD complete section(s) below:

Note: For retirement plans only. For retail accounts, contact your bank directly or use Cash Transfer Form F32.

- Liquidate CD in FULL immediately and send cash
- Liquidate part of CD immediately and transfer

\$
- Liquidate CD at maturity and send cash.¹ Maturity date is:

¹ Must be submitted three weeks prior to maturity date, but no more than 60 days.



Member FINRA/SIPC



4. Addendum (Mutual Fund Transfers Only)

Required only for mutual fund transfers from a single delivering account with the same account registration but varying fund account numbers. LPL Financial cannot accept percentages. Specific share amounts must be listed for each security.

CUSIP/Symbol	Number of Shares or "All"	Instructions	Fund Account #
		<input type="radio"/> In Kind <input type="radio"/> Liquidate	
		<input type="radio"/> In Kind <input type="radio"/> Liquidate	
		<input type="radio"/> In Kind <input type="radio"/> Liquidate	
		<input type="radio"/> In Kind <input type="radio"/> Liquidate	
		<input type="radio"/> In Kind <input type="radio"/> Liquidate	
		<input type="radio"/> In Kind <input type="radio"/> Liquidate	
		<input type="radio"/> In Kind <input type="radio"/> Liquidate	
		<input type="radio"/> In Kind <input type="radio"/> Liquidate	
		<input type="radio"/> In Kind <input type="radio"/> Liquidate	
		<input type="radio"/> In Kind <input type="radio"/> Liquidate	

5. LPL Account Holder Authorization (All LPL Account Holders MUST read, sign, and date)

To the delivering firm named above:

Signature Guarantee / Medallion Stamp

I/We have established the appropriate account with LPL Financial LLC to receive the transferring assets and in so doing have designated the successor custodian or plan trustee as shown below. Unless otherwise indicated in the instructions above, please transfer all assets in my/our account to LPL Financial LLC without penalties; such assets may not be transferred within the time frames required by FINRA Rule 11870 or similar rule of FINRA or other designated examining authority. Unless otherwise indicated in the instructions above, I/we authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my/our account and transfer the resulting credit balance to the LPL account. I/We authorize you to deduct any outstanding fees due you from the credit balance in my/our account. If my/ our 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/we authorize you to liquidate the assets in my/our account to the extent necessary to satisfy that obligation. I/we understand that I/we may incur a penalty for early liquidation. If certificates or other instruments in my/our account are in your physical possession, I/we instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor IRA, 403(b)7 custodian, or qualified plan trustee to transfer them in its name for the purpose of the sale, when and as directed by me/us. I/We understand that upon receiving a copy of this transfer information, you will cancel all open orders for my/our account on your books. I/We affirm that I/ we have destroyed or returned to you credit/debit cards and/or unused checks issued to me/us in connection with my/our securities account. I/We understand that you will contact me/us with respect to the disposition of any assets in my/our securities account that are non-transferable. For qualified retirement plans or retirement accounts whereby Private Trust Company, N.A. is not accepting appointment as Successor Custodian, I/we, the Trustee/Successor Custodian(s) indicated below, accept appointment as Trustee/Successor Custodian(s).

Registration Differences: All parties involved must authorize the transfer/acceptance of assets from unlike accounts. By signing, I/we hereby acknowledge the existence of any differences in account owners and/or account types between the account being transferred and the LPL account. Each individual who signs below is aware of these differences and authorizes LPL Financial LLC to accept the transfer of assets as indicated on this form.

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Account Holder Signature _____	Account Holder Name (print) _____	Date _____
Joint Account Holder/Trustee Signature _____	Joint Account Holder/Trustee Name (print) _____	Date _____
Joint Account Holder/Trustee Signature _____	Joint Account Holder/Trustee Name (print) _____	Date _____

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To the prior trustee: The Private Trust Company, N.A. accepts the appointment as Successor Custodian on behalf of LPL.

Successor Custodian Signature _____

Account Number

