



Account Number \_\_\_\_\_

Rep ID \_\_\_\_\_ Alternate Branch \_\_\_\_\_

ACCOUNT TRANSFER FORM

If any information is inaccurate, please correct and initial each revision.

RBC WM ACCOUNT INFORMATION (RECEIVING FIRM)		FIRM YOU ARE TRANSFERRING FROM (DELIVERING FIRM)	
Required Information	RBC WM Account Title	Delivering Firm Account Title	
	SSN/EIN	DTC# 0235	Delivering Firm Account Number
			Delivering Firm Name

RBCWM ACCOUNT TYPE (CHECK ONE) NOTE: A DIRECT ROLLOVER\* IS A DISTRIBUTION WHICH IS REPORTABLE TO THE IRS

<p><b>Non-Retirement Account:</b> Check appropriate box for federal tax classification; check only one of the following seven boxes:</p> <p><input type="checkbox"/> Individual/sole proprietor or single- member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation  <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/Estate <input type="checkbox"/> Other _____  <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporations, P=Partnership) _____</p> <p><b>Note:</b> For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner.</p>	<p><b>Retirement Qualified Account:</b>(see Special Notice on bottom of page 2).</p> <p><input type="checkbox"/> IRA or SEP <input type="checkbox"/> Simple IRA <input type="checkbox"/> Roth IRA  <input type="checkbox"/> 401(k) <input type="checkbox"/> Direct Rollover* <input type="checkbox"/> Qualified Plan  <input type="checkbox"/> Other (specify in title)</p>
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TRANSFER INSTRUCTIONS (TRANSFER ALL ASSETS IN-KIND)

Unless I complete the Additional Instructions below, by signing this form I authorize the transfer of all assets in-kind (and any fractional equity shares will be liquidated) from Delivering Firm to RBC Wealth Management, a division of RBC Capital Markets, LLC (RBC WM).

- A copy of the most recent statement of the account at Delivering Firm must be included with this form.
- Complete above and sign page 2 to authorize account transfer. Complete Additional Instructions below for partial transfers, liquidation instructions or transfers from Mutual Fund Company.
- Complete the above required information and sign page 2 to authorize the account transfer. An additional signature may be required on page 3 in the 'Optional Signatures' section if the RBC account registration is different than the delivering firm registration or if the client name is different.
- If shares are held directly at Transfer Agent, delivering account will be closed unless Additional Instructions completed below.
- Mutual fund dividend and capital gains options will automatically reinvest. All mutual funds eligible for networking will be networked.
- Original signatures are required on this form for manual transfers (such as transfers from banks, trust companies, mutual fund companies and foreign companies).

All eligible transfers, typically those between brokerage firms, will be completed through the automated customer account transfer service (ACATS) in accordance with applicable regulatory requirements. If deemed ineligible for ACATS, the assets will be manually transferred (Non-ACATS) to RBC WM and typically take longer for Delivering Firm to transfer. For transfers from Agent, any cash proceeds from fractional share liquidations will be mailed by the Agent to the account address of record.

ADDITIONAL INSTRUCTIONS FOR TRANSFER (NOT APPLICABLE FOR FULL TRANSFER OF ASSETS IN-KIND)

**1. Transfer Instructions** (Complete to provide sell/liquidate or partial transfer instructions. Check one and complete #2 Asset List if applicable)

**Entire Account Transfer with Sell/Liquidate:**

Liquidate\* all assets and send proceeds  Transfer proceeds of CD upon maturity date: \_\_\_\_\_ (MM/DD/YY)

Sell\* only assets listed below then transfer cash proceeds and all remaining assets in-kind  Liquidate\* CD/Annuity immediately and send proceeds. I am aware and acknowledge the penalty I will incur from early withdrawal.

**Partial Account Transfer (all types):**

Transfer only assets listed below per Action\* selected

**For entire transfers from Transfer Agent:**  Keep fractional shares at Transfer Agent (P) or  Do not close account at Transfer Agent (A)

\* RBC WM cannot guarantee when or if the Delivering Firm will sell/liquidate assets with this form (shares held at Agent must be liquidated directly with Agent). We recommend that you liquidate assets at the Delivering Firm prior to submitting this form to have the cash proceeds transferred.

2. Asset List (Complete if instructed in # 1 above or for mutual fund transfers from Fund Company. Attach additional page(s) as needed.)

Quantity or "All"	Description of Asset (Symbol/CUSIP/ISIN)	If held at Fund Company: Mutual Fund Account #	Action
			<input type="checkbox"/> Liquidate, Send proceeds <input type="checkbox"/> Transfer In-Kind
			<input type="checkbox"/> Liquidate, Send proceeds <input type="checkbox"/> Transfer In-Kind
			<input type="checkbox"/> Liquidate, Send proceeds <input type="checkbox"/> Transfer In-Kind



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W-9 INFORMATION (FOREIGN ACCOUNTS COMPLETE APPROPRIATE IRS FORM W-8)(VISIT WWW.IRS.GOV FOR MORE INFORMATION.)

Awaiting TIN:  Check the box if you are presently applying for a Taxpayer Identification Number.

Exempt payees: \_\_\_\_\_ Provide exempt payee code (if any) if you are exempt from backup withholding and information reporting. Generally, individuals (including sole proprietors) are not exempt from backup withholding. Refer to IRS Form W-9 instructions for a complete list of applicable codes.

Not Applicable Exemption from FATCA reporting (if any.)

SUBSTITUTE W-9 CERTIFICATION

(YOU MAY CROSS OUT THIS ENTIRE SECTION IF YOU ARE NOT A U.S. CITIZEN OR OTHER U.S. PERSON AND PROVIDE AN APPROPRIATE IRS FORM W-8.)

Under penalties of perjury, I certify that:

- 1. The number shown on this form is my correct Taxpayer Identification Number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person as defined in instructions, and
4. The FATCA codes (if any) indicating that I am exempt from FATCA reporting is correct.

You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

By entering my name below, I signify that I have read, met, and agreed to all terms and conditions above.

ACCOUNT TRANSFER AUTHORIZATION AND GENERAL TERMS/AGREEMENT

Client Instructions to Delivering Firm

If this account is a qualified retirement account, I have amended the applicable plan so that it names RBC Capital Markets, LLC as successor custodian. Unless otherwise indicated in the instructions above, please transfer all assets in my account to RBC WM. 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 timeframes required by FINRA Rule 11870 or similar rule of another designated examining authority. I authorize Delivering Firm to liquidate any non-transferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance. I authorize Delivering Firm to deduct any outstanding fees due it 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 Delivering Firm, I authorize Delivering Firm to liquidate the assets in my account to the extent necessary to satisfy that obligation. If certificates or other instruments in my account are in Delivering Firm's physical possession, I instruct Delivering Firm to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor custodian 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, Delivering Firm will cancel all open orders for my account on its books. I affirm that I have destroyed or returned to Delivering Firm all credit/debit cards and/or unused checks issued to me in connection with my securities account. I understand that Delivering Firm will contact me with respect to the disposition of any assets in my securities account that are non-transferable.

Client Consent to Cash Sweep Program

I consent to including free credit balances in any of my accounts in the RBC Cash Sweep program to be invested in compliance with any instructions given to RBC WM or my Financial Advisor. The RBC Cash Sweep Program automatically invests any free credit balances in my account in my selected Automatic Sweep Investment option. Automatic Sweep Investment options available through the RBC Cash Sweep Program include various money market funds, RBC Insured Deposits (which provides FDIC insurance on deposits up to applicable limits), the RBC Branch Sweep Program (which is not FDIC insured and places deposits with a branch of Royal Bank of Canada), and the RBC WM Credit Interest Program (which is a cash investment alternative whereby the interest rate is established by RBC WM based on prevailing market conditions). There are different Automatic Sweep Investment options available for different types of accounts; I may contact my Financial Advisor for eligibility and specific terms. RBC WM may change the available Automatic Sweep Investment options and terms and conditions of the Sweep Program at any time.

SIGNATURES (JOINT ACCOUNTS REQUIRE ALL PARTIES TO SIGN, NON-ACATS REQUIRE ORIGINAL FORM)

By signing below, I/we represent and certify that:

- 1. The information provided to RBC WM herein is accurate and that I am at least 18 years of age and of full legal age in my state of residence.
2. The IRS does not require my consent to any provision of this document other than the certifications required to avoid backup withholding.

Table with signature lines for Primary Account Owner/Trustee Signature, Date, Joint Tenant/Co-Trustee Signature (if applicable), and Date. Includes text: For RBC WM use only- Medallion Signature Guarantee:

To the prior Trustee/Custodian: RBC Capital Markets, LLC agrees to serve as the successor Custodian for the account of the above-named client, and as Custodian, we agree to accept the transfer of assets to this account. Please be advised that the new account name will read RBC Capital Markets, LLC as Custodian for the above-named client. Custodian Tax ID #41-1416330.

Successor Custodian Authorized Signature: [Handwritten Signature]



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SPECIAL NOTICE FOR ALL CUSTODIAL RETIREMENT ACCOUNT TRANSFERS

Required Minimum Distribution Notice: I understand that if this transfer is occurring during or after the calendar year in which I attain the age of 70½, or if I am a beneficiary subject to a required minimum distribution ("RMD"), the RMD is still required. I further understand that the current Trustee/Custodian is not responsible for making this RMD prior to the transfer. I accept full responsibility for satisfying the RMD applicable to my account. Also, if this transfer leaves the Delivering Firm in one year but does not reach my account until the following year, I understand that this will be an "outstanding transfer" as of December 31st. Once received, RBC WM must "deem" that the transfer was received as of the prior December 31st for determining any RMD. I will inform RBC WM of any such outstanding transfer.

OPTIONAL SIGNATURES – YOU DO NOT NEED TO SIGN AND RETURN THIS PAGE UNLESS THE BELOW OPTIONS APPLY.

AUTHORIZATION TO CHANGE REGISTRATION FROM DELIVERING FIRM (IF APPLICABLE, NOT FOR RETIREMENT ACCOUNTS)

Complete this section only if you authorize a change in the account ownership and/or Account Title/Type.

Delivering Firm Account Type with Required Signers/Documents

- Single (Single account holder must sign.)
Joint (Both account holders must sign.)
Trust (All trustees must sign, unless one trustee is permitted to sign for all. Include a copy of Trust Agreement.)
Custodian (Minor must be age of majority and must sign. Include proof of age.)
Corporation/Other Entity (All authorized parties must sign. Include a copy of the Corporate Resolution.)

RBC WM Account Type

- Single
Joint
Trust
Corporation/Other Entity

Sign below to authorize the change in registration (you must also sign the Signatures section on Page Two).

(Note: This does not include all scenarios and the Delivering Firm may have additional requirements to complete this transfer request.)

Table with 3 columns: Signature, Print Name, Date. Two rows for signature authorization.

ONE AND SAME NAME CERTIFICATION (IF APPLICABLE)

Complete this section only if there is any difference in the way the account owner's name appears on the different accounts, and there is no actual change in ownership. I certify that the names listed below are one and the same person.

Table with 2 columns: Print Name #1, Print Name #2

Sign below as both ways the Account Owner's name appears (you must also sign the Signatures section on Page Two).

Table with 4 columns: Signature #1, Date, Signature #2, Date



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**ACCOUNT TRANSFER FORM**

**FOR DELIVERING FIRM USE ONLY: RBC WEALTH MANAGEMENT DELIVERY INSTRUCTIONS**

RBC Wealth Management 60 S. 6th Street Attn: Account Transfer – P09 Minneapolis, MN 55402-1106	Tax ID: 41-1416330 Phone: (612) 607-8229 Fax: (888) 446-9272 * All deliveries must include the client’s name and RBC Wealth Management account number.
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**SECURITY/FUND TYPE                      DELIVERY INSTRUCTIONS**

DTC Eligible Securities                      # 0235   FBO Client’s Name and RBC WM Account Number

Options    OCC # 0235

Checks	RBC Capital Markets, LLC FBO Client’s Name and RBC WM Account Number	<b>Standard/ Overnight Mail Delivery:</b> 60 S. 6 <sup>th</sup> Street, Attn: Treasury - P09 Minneapolis, MN 55402-4422   Tel # (612) 607-8494

Domestic and International Wires (US Dollars Only\*)                      US Bank, ABA #: 091000022  
Account Number 160230097208/RBC Capital Markets, LLC  
FFC a/c: Client’s name and RBC WM Account Number (8 digit)  
SWIFT code (for US Dollar International transfer): USBKUS44IMT

\* Foreign currency will automatically be returned if wired to US Bank. Call RBC Account Transfer at 612-607-8229 for foreign currency transfer instructions.

Foreign Securities (not Euroclear eligible) and Foreign Currency Wires                      Call RBC Account Transfer at 612-607-8229 for instructions including trade and settlement details.

Physical Certificates                      RBC Capital Markets, LLC  
For the account of: \_\_\_\_\_  
60 S. 6th Street, Attn: 9th Floor – Physical Security Processing  
Minneapolis, MN 55402-1106

Limited Partnerships/Private Placements                      RBC Capital Markets, LLC  
FBO Client’s Name and RBC WM Account Number  
60 S. 6th Street, Attn: Alternative Investments – P09  
Minneapolis, MN 55402-1106

Government Wireable Securities                      Bank of NYC/DSP, ABA Number: 021000018   FBO Client’s Name and RBC WM Account Number

Non-ACATS Euroclear Securities                      Bonds: 16829  
Equities: 93999