

Account Transfers

Outgoing Partial Transfer/Gifting Form

MFG

Account Number

Rep ID

Instructions: Use this form to deliver mutual funds, stocks, bonds or government securities only from an LPL non-retirement account to an account holder at another firm or financial institution, or the security's transfer agent. **Complete a separate form for each recipient.**

Please fax the completed form to (858) 202-8335 or email to imaging.email@lpl.com.

Notes:

- This form is not for the purpose of journaling between LPL accounts.
- LPL Financial does not process delivery to foreign accounts.
- LPL cannot deliver securities to a specific recipient account at a transfer agent.
- **LPL Financial is not responsible for market fluctuation on ALL transfer/gift requests.**

Transfer ID

LPL HOME OFFICE USE ONLY

1. Delivering Account Information

Account registration

Social Security/Tax ID number

2. Delivery Information

Destination: Another Firm or Financial Institution Transfer Agent

Type of Delivery (must select one): Charitable Gift Gift Common Owner Death Distribution (Tax Lot selection not available)

Charitable Gift = Delivery of assets to charitable organization (Cost basis stepped up to fair market value on settlement date)

Gift = Delivery of assets for person(s)/entity for purposes of gifting or a change of beneficial owner

Common Owner = Delivery to the same person(s)/entity, or beneficial owner

Death Distribution = Delivery to a person(s)/entity due to death

3. Authorization: I hereby authorize LPL Financial LLC ("LPL") to act on my behalf in accordance with the following delivery instructions.

Cost Basis Information: use the optional (*) Tax Lot Trade Date and Tax Lot Price fields to select specific lots. If these fields are NOT specified, LPL will deliver the securities using the default first in, first out (FIFO) method.

For Mutual Funds: A fund account number must be established at the fund company prior to submitting this form, except when receiving account is established at a brokerage firm.

Please deliver "in kind" the following securities: (NOTE: Fractional shares of equity positions are NOT transferable)

Share Quantity	CUSIP/Symbol	Security Description	Tax Lot Trade Date*	Tax Lot Price* (per share)	Receiving Fund Account Number



3. Authorization (continued)

Securities: Please deliver "in kind" the following security(ies):

Share Quantity	CUSIP/Symbol	Security Description	Tax Lot Trade Date*	Tax Lot Price* (per share)	Receiving Fund Account Number

*Government Bonds may require additional information (ABA delivery instructions) to be provided by the receiving firm.

4. Receiving Account Information

Registration guidelines:

- If the recipient is a minor, use the social security number of the minor, and the registration must include a custodian appointed for the minor (Ex: John Doe Custodian for Jane Doe UTMA/State). For South Carolina and Vermont, use UGMA (Ex: John Doe Custodian for Jane Doe UGMA/State).
- If the recipients are two or more people, appropriate tenancy must be listed. Ex: Joint Tenants, Tenants in Common
- Any transfer-on-death (TOD) designations must be added to the receiving account following the transfer.

Receiving account registration

Relationship to owner (Note: Request is subject to LPL's FIU/fraud prevention policies)

Complete this section if receiving party's account is held in a brokerage account at a DTC eligible firm.

Firm name

DTC # (4 Digits)

Receiving account number

Complete this section if requesting delivery directly to the Transfer Agent

Recipient address

Recipient Social Security/Tax ID number

5. For transfer requests of change of beneficial owner, I hereby confirm that I relinquish all rights thereto.

Account Holder Signature

Account Holder Name (print)

Date

Account Holder Signature

Account Holder Name (print)

Date

Validation of Client Signature

My customer(s) is/are well known to me, and I validate that the signature(s) on the attached document is/are genuine. I agree for myself and my successors, assigns, heirs, executors, and administrators to at all times indemnify and hold harmless LPL and all LPL staff and third-party providers, acting as authorized agents of LPL, from and against any and all claims, losses, liabilities, taxes, damages, actions, charges, and expenses, including attorney fees, resulting from your compliance with this request. LPL reserves the right to verify the authenticity of any signature. I verify that I have verbally confirmed these transfer instructions with the client.

Financial Professional / Associated Person Signature

Financial Professional / Associated Person Name (print)

Date

