

ACCOUNT TRANSFER FORM




COMPLETE YOUR E*TRADE APPLICATION IN THREE EASY STEPS

The Account Transfer Form you requested begins on the following page.

To complete your application, simply:

1. SCROLL DOWN AND FILL OUT EACH FIELD BY TYPING IN THE APPROPRIATE INFORMATION.

If you'd like to complete the application by hand, skip this step and move on to Step 2.

2. ONCE YOU HAVE PROVIDED THE REQUESTED INFORMATION, REVIEW YOUR APPLICATION TO ENSURE IT IS COMPLETE AND PRINT IT BY CLICKING THE  BUTTON ON THE TOP TOOLBAR.

3. SIGN AND DATE YOUR APPLICATION, AND MAIL IT TO THE APPROPRIATE ADDRESS:




By overnight mail:
E*TRADE Securities LLC
Harborside Financial Center
501 Plaza 2
34 Exchange Place
Jersey City, NJ 07311
General Fax Number: 1-866-650-0003
From Outside the US: +1-678-624-6950

By regular mail:
E*TRADE Securities LLC
P.O. Box 484
Jersey City, NJ 07303-0484
General Fax Number: 1-866-650-0003
From Outside the US: +1-678-624-6950

Note: Please include a [Fax Cover Sheet](#) when submitting documents by facsimile.

*Notarized documents, Stock Certificates, and other forms for which the original document is needed cannot be submitted by facsimile.

Please refer to the chart below to determine if additional documents are required:

IF...	REQUIRED DOCUMENTS
You are transferring from a joint account to an individual account 	<ul style="list-style-type: none"> • All account holders must sign the Account Transfer application • All account holders must also execute the Letter of Authorization (Section 4). The Letter of Authorization must be notarized or alternatively both account holders can visit an E*TRADE branch with a valid photo ID and have a branch manager witness the signatures
You are transferring from an individual account to a joint account 	<ul style="list-style-type: none"> • All account holders must sign the Account Transfer application • All account holders must also execute the Letter of Authorization (Section 4). The Letter of Authorization must be notarized or alternatively both account holders can visit an E*TRADE branch with a valid photo ID and have a branch manager witness the signatures
You are transferring from an account that is not identically registered to your E*TRADE Securities brokerage account 	<ul style="list-style-type: none"> • All account holders must sign the Account Transfer application • All account holders must also execute the Letter of Authorization (Section 4). The Letter of Authorization must be notarized or alternatively both account holders can visit an E*TRADE branch with a valid photo ID and have a branch manager witness the signatures

For a complete list of required documents [CLICK HERE](#)

Need Help?

Call us at **1-800-ETRADE-1** (1-800-387-2331) 24 hours a day, seven days a week.

Before you begin:

Have the following information handy to complete your Account Transfer Form:

- The name(s) of all account holders on the account you want to transfer
- A copy of your most recent statement for the account you are transferring
- CD maturity date(s) if you are transferring from the delivering financial institution and want us to redeem your CDs at maturity

NOTE 1: A separate form must be used per institution from which accounts or funds are to be transferred

NOTE 2: If you want to transfer a margin or options account with an existing debit balance and/or options contract, you must first be approved for margin and/or the required options trading level in your E*TRADE Securities brokerage account.

Your E*TRADE Securities brokerage account number:

1. PLEASE GIVE US SOME BASIC INFORMATION ABOUT YOUR E*TRADE SECURITIES ACCOUNT.

IMPORTANT: REGISTRATION MUST BE IDENTICAL TO THE REGISTRATION ON THE ACCOUNT YOU ARE TRANSFERRING. (SEE PREVIOUS PAGE FOR INSTRUCTIONS ON TRANSFERRING ACCOUNTS WITH DIFFERENT REGISTRATIONS.)

Primary Account Holder		Co-Account Holder, If Applicable	
Name/Account Title		Name	
Social Security/Tax ID Number		Social Security/Tax ID Number	
Home Phone	Business Phone	Home Phone	Business Phone
E-mail Address (required for electronic account updates)		E-mail Address (required for electronic account updates)	

TELL US ABOUT THE ACCOUNT YOU WANT TO TRANSFER.

Name of Financial Institution	Account Number	Phone
Type of Account <input type="checkbox"/> Individual <input type="checkbox"/> Investment Club <input type="checkbox"/> Traditional/Rollover IRA <input type="checkbox"/> SAR-SEP IRA <input type="checkbox"/> Individual 401(k) <input type="checkbox"/> Other <input type="checkbox"/> Joint <input type="checkbox"/> Estate <input type="checkbox"/> Roth IRA <input type="checkbox"/> Coverdell Education Savings Account <input type="checkbox"/> Roth Individual 401(k) <input type="checkbox"/> Trust <input type="checkbox"/> Corporate <input type="checkbox"/> SEP-IRA <input type="checkbox"/> Profit Sharing Plan <input type="checkbox"/> Beneficiary IRA <input type="checkbox"/> UTMA† <input type="checkbox"/> Partnership <input type="checkbox"/> SIMPLE IRA <input type="checkbox"/> Money Purchase Pension Plan <input type="checkbox"/> Beneficiary Roth IRA		

REMEMBER: You must submit a separate Account Transfer Form for each financial institution from which you are transferring assets.

2A. TO TRANSFER AN ACCOUNT FROM A BROKERAGE FIRM, COMPLETE THIS SECTION (ATTACH ADDITIONAL PAGES IF YOU NEED TO).

Choose One: Transfer all the assets in my account. (If you check this box, you do not need to complete the remainder of this section). Transfer all the assets listed below (Attach additional pages if necessary).

Quantity	Securities Description	Symbol	Quantity	Securities Description	Symbol

†UTMA = Uniform Transfers to Minors Act

2B. TO TRANSFER MUTUAL FUNDS OR MONEY MARKET FUND ASSETS, COMPLETE THIS SECTION.

REMEMBER: You must submit a separate Account Transfer Form for each financial institution from which you are transferring assets.

- Proprietary mutual funds must be liquidated.
- Money market funds must be converted to cash.

NAME OF FUND	FUND NUMBER	NUMBER OF WHOLE SHARES	DIVIDENDS/CAPITAL GAINS	IN-KIND OR LIQUIDATE
			<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> In-kind <input type="checkbox"/> Liquidate
			<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> In-kind <input type="checkbox"/> Liquidate
			<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest	<input type="checkbox"/> In-kind <input type="checkbox"/> Liquidate

2C. TO TRANSFER CERTIFICATES OF DEPOSIT(CDs) OR ANNUITIES, COMPLETE THIS SECTION.

Check and initial each box that applies to you.

CERTIFICATES OF DEPOSIT	ANNUITY/INSURANCE POLICY
<input type="checkbox"/> Redeem my CD immediately (I am aware that I may incur a penalty for early redemption). Your initials: _____	<input type="checkbox"/> Redeem my annuity (I am aware that I may incur a penalty for early redemption). Your initials: _____
<input type="checkbox"/> Redeem my CD on the maturity date of _____ Your initials: _____	<input type="checkbox"/> Redeem my insurance policy and terminate the policy on my behalf. Your initials: _____

3. PLEASE SIGN AND DATE THE APPLICATION.

To delivering firm: Transfer assets in my account to E*TRADE Securities LLC or its affiliates, as indicated. I understand that if assets in my account are not readily transferable with or without penalties, such assets may not be transferred within the time frames required by the rules of the Financial Industry Regulatory Authority, Inc. or other designated examining authority. **I authorize you as delivering firm, to liquidate nontransferable proprietary money market fund assets, deduct any outstanding fees due you, and transfer the resulting credit balance to the E*TRADE Securities account.** I authorize you as delivering firm, to liquidate assets in my account as necessary to satisfy outstanding fees due you. I instruct you to transfer certificates or other instruments in my account in good deliverable form, including affixing any necessary tax waivers, to enable E*TRADE Securities 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, you will cancel all open orders for my account on your books.

I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me, if any, in connection with the account I am transferring. I understand that you will contact me with respect to the disposition of any assets in my securities account that are nontransferable.

X _____ Signature of Primary Account Holder Date	X _____ Signature of Co-Account Holder or Custodian Date
_____ Printed Name	_____ Printed Name

Continued on next page

4. LETTER OF AUTHORIZATION FOR ACCOUNT NAME AND TYPE.

If the registration information (i.e., name, address, etc.) of the account you are transferring is different from that of your E*TRADE Securities account, please complete this Letter of Authorization.

ALL ACCOUNT HOLDERS MUST SIGN BOTH THE ACCOUNT TRANSFER FORM AND THE LETTER OF AUTHORIZATION.

From: Individual Individual Trust To: Individual Joint Trust
 Joint UTMA/UGMA^{††} Joint Individual Trust

I/We authorize E*TRADE Securities LLC to transfer the account listed in section 1 of this Account Transfer Form into the E*TRADE Securities account noted at the top of this form.

* Required: All account holders must sign and date below:

X
 Print Name of Registered Primary Account Holder Date

X
 Print name of Registered Co-Owner Date

X
 Signature of Registered Primary Account Holder Date

X
 Signature of Registered Co-Owner Date

* If mailing this form, have the form notarized below:
NOTARY ACKNOWLEDGMENT

* If completing this form at one of our branch offices, please
 bring in a valid form of picture identification.

State of: _____ [seal]
 County of: _____
 Subscribed and sworn before me: _____
 Date: _____
 Signature of notary: _____
 My commission expires: _____

FOR E*TRADE SECURITIES LLC USE ONLY:		
I have verified the Registered Owner's signature against a valid form of picture identification.		
X _____	_____	X _____
Signature of E*Trade Branch Manager	Date	Print Name

^{††} UTMA = Uniform Transfers to Minors Act; UGMA = Uniform Gifts to Minors Act

For the Delivering Firm: Delivery Instructions	
Receiving Firm Name and Address:	E*TRADE Clearing LLC, P.O. Box 484 Jersey City, NJ 07303-0484
Tax ID Number:	32-0012683
All DTC-Eligible Securities:	Deliver to DTC Clearing 0385, Code 40
Checks:	E*TRADE Clearing LLC, Attn: Cashiering Dept., P.O. Box 484 Jersey City, NJ 07303-0484
Dividend Reinvestment:	Issue a certificate for all whole shares, liquidate all fractional shares, and discontinue dividend reinvestment
Physical Delivery of Securities:	E*TRADE Clearing LLC, P.O. Box 484 Jersey City, NJ 07303-0484
Book-Entry GNMA Securities:	BKNYC/ETG/ETRADE SECURITIES
Fed-Entry Securities (e.g., Treasury notes):	021000018 BK OF NYC/ETRADE
Fed-Wired Moneys:	
Domestic:	E*TRADE Clearing P.O. Box 484 Jersey City, NJ 07303-0484 ABA: 056073573 Your eight-digit E*TRADE Securities account number
International:	The Bank of New York One Wall Street New York, NY 10286 Swift Code: irvtus3n FBO: E*TRADE Securities Account Number: 890 034 6256 Your eight-digit E*TRADE Securities account number (add the letters "ET" before your account number, for example ET12345678) Your name and address
Options Delivery Instructions:	Options Clearing Corp. 0385

All deliveries must include account holder name and E*TRADE Securities brokerage account number.

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FOR E*TRADE SECURITIES USE ONLY

Mutual fund registration instructions:
E*TRADE Securities FBO (name)

Account Number _____
P.O. Box 484 Jersey City, NJ 07303-0484

Tax ID 32-0012683
Omnibus A/C _____

Letter of Acceptance for the Receiving Retirement Account Custodian (for E*TRADE Clearing LLC internal use only)

Our organization agrees to accept the funds listed, which are being transferred on behalf of the above-named individual(s). We agree to serve as Successor Custodian of these assets.

X

Successor Custodian Authorized Signature

Date

The E*TRADE Financial family of companies provides financial services that include trading, investing, and banking. E*TRADE Securities LLC, Member FINRA. Accounts are carried by an affiliate, E*TRADE Clearing LLC, Member NYSE/FINRA/SIPC. E*TRADE Securities and E*TRADE Clearing are separate but affiliated companies.

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