Trust Company OF AMERICA

INSTITUTIONAL TRANSFER FORM

Account Number_____

Account Title_____

INSTRUCTIONS FOR COMPLETING APPLICATION

- Please print clearly in all CAPITAL LETTERS and use black ink to complete this application.
- Please complete an Account Transfer Form for each account you are transferring and attach a copy of your most recent account statement. (Make additional copies of this form as needed.)
- For reregistering Annuities, please complete the Annuity Change of Ownership Form.
- Please check with your current custodian/trustee/employer to determine if additional documents are required to transfer your assets.
- Upon completion, please review the Terms and Conditions in Section VI and have all account owners sign and date in the areas indicated.

Questions regarding this form should be directed to your Investment Advisor. Transfer instructions are outlined in Section IV.

Additional Information

- Please be advised that one or more of the following fees *may* be charged to your account from the delivering firm before the transfer is complete.
  - Retirement Account Termination Fee
  - Account Transfer Fee
  - Wired Funds
  - Account Surrender Fee
  - Redemption or early withdrawal charges
- It may take several weeks to complete an account transfer. This is due in part to the type of securities being transferred and the procedures of the institution facilitating the transfer. Access to assets may be unavailable during the transfer process, resulting in your inability to trade, liquidate or meet cash needs.
- Not all types of assets are transferable to Trust Company of America. Please contact your Investment Advisor for additional information.
- If liquidating certain assets prior to transfer, please instruct the delivering firm to do so and cancel dividend reinvestment option before submitting this form to Trust Company of America.

Section I
Trust Company of America Account Information

If you do not have an account with Trust Company of America, please attach a completed Trust Company of America New Account Application.

_____
Trust Company of America Account Number

_____
Account Owner

_____
Social Security Number/Tax ID Number

Section II
Account to be Transferred to Trust Company of America

_____
Name of Current Institution

_____
Street Address or PO Box

_____
City, State, Zip

_____
Title of Account as it appears on your statement

_____
Account Number

Section III
Type of Account

A. Type of Account Being Transferred:

- ☐ Single / Joint
- ☐ Trust
- ☐ Corporation
- ☐ Qualified Plan
- ☐ IRA – Traditional, Rollover, or SEP
- ☐ SIMPLE IRA
- ☐ ROTH IRA
- ☐ Other_____

B. Type of Account at Trust Company of America:

- ☐ Single / Joint
- ☐ Trust
- ☐ Corporation
- ☐ Qualified Plan
- ☐ IRA – Traditional, Rollover, or SEP
- ☐ SIMPLE IRA
- ☐ ROTH IRA
- ☐ Other_____

Section IV
Transfer Instructions (Please attach a copy of your most recent statement)

Unless otherwise indicated, all holdings will be transferred to Trust Company of America. For Mutual Funds, all dividends and Capital Gains will be reinvested. If reinvestment is not allowed, Trust Company of America will pay all future dividends and Capital Gains in cash. **Sales charges for liquidations may apply.**

☐ Full Transfer
- ☐ Transfer my entire account to Trust Company of America in kind
- ☐ Liquidate my entire account and wire the funds to Trust Company America
- ☐ Transfer my entire account in kind to Trust Company of America with the exception of liquidating the assets specified below.

☐ Partial Transfer
- ☐ Please transfer Cash in the amount of $_____
- ☐ Please transfer only the assets specified below

Description of Asset	Quantity (Indicate # of shares or all)	Type of Transfer (Select one)	Trust Company of America Omnibus Account Number (for internal use only)
		☐Transfer In Kind ☐Liquidate Immediately ☐ Liquidate on Maturity Date of ____/____/____	
		☐Transfer In Kind ☐Liquidate Immediately ☐ Liquidate on Maturity Date of ____/____/____	
		☐Transfer In Kind ☐Liquidate Immediately ☐ Liquidate on Maturity Date of ____/____/____	
		☐Transfer In Kind ☐Liquidate Immediately ☐ Liquidate on Maturity Date of ____/____/____	
		☐Transfer In Kind ☐Liquidate Immediately ☐ Liquidate on Maturity Date of ____/____/____	

Attach an additional sheet if necessary.
Please note that there may be early withdrawal penalties on Certificates of Deposit.

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Section V
Account Transfer Instructions

TRUST COMPANY OF AMERICA IS NOT A MEMBER OF THE ACATS SYSTEM

Make Checks Payable to: Trust Company of America FBO _____ Client Account # _____ P.O. Box 6675 Englewood, CO 80155-6580	**Overnight Delivery Address:** Trust Company of America FBO _____ Client Account # _____ 7103 South Revere Parkway Centennial, CO 80112
Wiring Instructions for Cash: Comerica Bank, San Jose, CA ABA # (or Routing#) 121137522 For Credit to: Trust Company of America Account # 1891539668 For Further Credit to: Client's Full Name Trust Company of America a/c #_____	**DTC Eligible Securities:** DTC Participant # 0901 Account # 365085 Trust Company of America FBO _____ Client Account # _____
Questions: Trust Company of America 7103 South Revere Parkway Centennial, CO 80112 (303) 705-6000	

Section VI
Terms and Conditions/Signature

Please read the following, then sign and date in the area indicated.

I understand that to the extent that any 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 NSYE Rule 412 or similar rule of the NASD or other designated examining authority.

1. To Trust Company of America:
   I authorize Trust Company of America to deduct any outstanding fees due to resigning custodian from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance is insufficient to satisfy any outstanding fees due to resigning custodian, I authorize Trust Company of America to liquidate the assets in my account to the extent necessary to satisfy this obligation.
2. To resigning custodian:
   If certificates or other instruments in my account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers to enable the successor trustee/custodian to transfer them into its name for the purpose of sale, when and as directed by me or my Investment Advisor. I understand that upon receiving a copy of this transfer document, you will cancel all open orders for my account on your records, unless otherwise instructed.
3. A transfer from a Traditional IRA to a Roth IRA is a taxable distribution that requires a Federal and/or state tax withholding election form. Taxes cannot be withheld from transfers processed on this transfer document.
4. Traditional IRA to Roth Conversions: By using this form to transfer my Traditional IRA to a Roth IRA at Trust Company of America, I understand that I am responsible for ensuring I have complied with all applicable Internal Revenue Service regulations regarding this conversion.
5. SIGNATURE(S) Please sign and date below and attach a copy of your most recent statement. Your signature authorizes Trust Company of America to transfer your assets and acknowledges that you have read and comply with the Terms and Conditions. Please contact the custodian or institution from which you are transferring to determine if a signature guarantee is required.

_____ _____
Account Owner's Signature Date Signature Guarantee
(Please contact the custodian or institution from which you are transferring to determine if a signature guarantee is required.)

_____ _____
Account Owner's Signature Date Signature Guarantee
(if Joint or Plan Sponsor or Trustee)

LETTER OF AUTHORIZATION TO THE PRIOR TRUSTEE (To be completed by Trust Company of America)

Please be advised that Trust Company of America will accept the above captioned account as successor custodian.

_____
Successor Custodian Authorized Signature Date