

Customer Account Transfer Form

Instructions

Complete this form to authorize the transfer of assets currently at another firm to your applicable non-retirement or retirement account held at National Financial Services LLC ("NFS"). If you are transferring more than one account complete one form for each account you are transferring. You may send us a photocopy of the transfer form; however, we need an **original signature** on each form.

Do not use this form to convert an IRA to a Roth IRA.

NFS will provide certain administrative services, maintain your account and, as broker, buy, sell or exchange securities and/or provide other products in accordance with instructions from you or your Broker/Dealer. For assistance with this form, please contact your Investment Professional.

1 Account Information

The type of account you are transferring must match the type of account you maintain or are opening. To open a new account, the appropriate new account paperwork can be obtained from your Investment Professional and, once completed, must be attached to this form.

2 Account to be Transferred

Include a copy of your most recent account statement from your current firm. If you are transferring margin and/or options positions, you must have an approved margin and/or options application(s) on file. If you are transferring mutual funds directly from the fund company you must provide all fund/account numbers.

3 Account Instructions

Assets are either transferred in-kind or liquidated and transferred as cash. All cash assets are deposited to your core account.

Some types of transfers require special arrangements or fees.

- If you hold proprietary mutual funds at your current firm, you generally will need to liquidate them. Like money market mutual funds, most proprietary mutual funds can only be held by the issuer and cannot be transferred. Certain non-proprietary funds may not be eligible for an in-kind transfer. Check with the firm holding your funds to determine eligibility to transfer in-kind.
- A CD generally requires four weeks to transfer. If you do not designate whether the proceeds of your CD are to be transferred at maturity (by providing the maturity date) or immediately (by checking the box for immediate liquidation), the proceeds of your CD will be transferred at maturity. Be advised that if your CD has a maturity date beyond 60 days, we cannot accept your form.
- If you hold an annuity and transfer the proceeds, you may incur surrender charges or other charges and penalties. NFS does not hold annuities in brokerage accounts.

You may be responsible for liquidation or termination fees when you transfer your assets. Check with the firm holding your assets for information regarding these fees.

Additional Information about Retirement Account Transfers

If you are transferring a Roth IRA, please note you are responsible for maintaining and reporting your 5-Year Aging Date to the Internal Revenue Service for purposes of determining qualified distributions from Roth IRAs.

If you are transferring a SIMPLE IRA, provide the original funding date in a manner acceptable to the custodian on the Premiere Select SIMPLE IRA application. Otherwise, the funding date will be as follows; for transfers to a new Premiere Select SIMPLE IRA, the date on which this transfer is deposited and for transfers to an existing Premiere Select SIMPLE IRA, the funding date of such SIMPLE IRA.

If you combine rollover contributions with annual contributions in the same IRA the assets will be commingled and you will forfeit the right to roll over any of the assets into another employer-sponsored plan.

By completing this Customer Account Transfer Form and sending it to your Broker/Dealer, you are requesting that NFS transfer your assets currently at another firm directly to your Premiere Select IRA (including Premiere Select Traditional IRA, Roth IRA, Rollover IRA, SEP-IRA, SIMPLE IRA, IRA-BDA, and Roth IRA-BDA) or the National Financial Services Corporation Retirement Plan ("NF Plan"), as applicable. The transfer is not a taxable event and does not have to be reported to the IRS. Certain securities cannot be held in Premiere Select IRAs or the NF Plan. Refer to the appropriate Premiere Select IRA Custodial Agreement or NF Plan document for more information.

If you wish to transfer the assets from your qualified retirement plan(s) to the NF Plan, contact your tax advisor to determine if it is necessary to file Form 5310-A prior to the transfer.

4 Owner Authorization

The account information provided in Section 1 of this form must match the name listed on the registration of the account at the delivering firm and the name on the account statement being provided. If the assets you are transferring are qualified plan assets, the signature of the plan administrator(s) or trustee(s) must be included on this form.

Customer Account Transfer Form

Account Number

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Clearing through National Financial Services LLC ("NFS"): Clearing #0226



4 Owner Authorization – Please read and sign below

To delivering firm: Please be advised that if I am transferring a qualified retirement plan account, I have amended my qualified retirement plan and have adopted a new qualified retirement plan with _____ or National Financial Services LLC ("NFS")/Fidelity Management Trust Company ("FMTC") as successor Trustee, and if I am transferring a non-retirement account, NFS is the successor custodian. Pursuant to said amendment, please transfer all assets in my account to such successor custodian/trustee. 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 time frames required by New York Stock Exchange Rule 412 or similar rule of the National Association of Securities Dealers or other designated examining authority. Unless otherwise indicated in Section 3, I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the successor custodian/trustee. I understand that if I choose a method of disposition of such assets other than liquidation and transfer, I may become liable for the payment of taxes and penalties with respect to such assets. I also understand that I will be notified in writing by the delivering firm, and/or by the receiving firm with respect to the disposition of any other assets in my account that are non-transferable. I authorize you to deduct any outstanding fees due you 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 you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy any outstanding fees due you. 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 custodian/trustee to transfer them in its name for the purpose of sale, when and as directed by me. Upon receiving a copy of this transfer instruction, the delivering organization will cancel all open orders for my account on its 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 have designated for transfer.

To receiving firm: If I am transferring to a Premiere Select Traditional IRA, Roth IRA, Rollover IRA, SEP-IRA, SIMPLE IRA, IRA-Beneficiary Distribution Account, Roth IRA-Beneficiary Distribution Account or to a NF Retirement Plan, I acknowledge that I have adopted a new Premiere Select Traditional IRA, Roth IRA, Rollover IRA, SEP-IRA, SIMPLE IRA, IRA-Beneficiary Distribution Account, Roth IRA-Beneficiary Distribution Account or NF Retirement Plan with NFS/FMTC as successor custodian/trustee and I agree to transfer only those assets which can be held in such account(s) as described in the relevant Custodial Agreement or Plan Document. **If I am transferring Traditional IRA, Rollover IRA, SEP-IRA, SIMPLE IRA, or qualified plan assets and I have passed the required beginning date for taking required distributions, I attest that none of the amount to be transferred in my account includes my required minimum distribution for the current year pursuant to Section 401(a)(9) of the Internal Revenue Code and related regulations.** If I am transferring a Traditional or Rollover IRA that contains a different type of contribution from the Premiere Select Traditional IRA or Rollover IRA I currently maintain at NFS, I hereby authorize NFS to combine or "commingle" my IRA assets. By doing so, I understand that I will forfeit the right to rollover any of these "commingled" assets into another employer-sponsored retirement plan in the future. If I am transferring a Roth IRA, I understand that it is my responsibility to track the Five-Year Aging Date as well as any 1998 conversion assets as required by the IRS. If I am transferring to a Premiere Select IRA-BDA or Premiere Select Roth IRA-BDA, I represent that this transfer is in compliance with the terms and conditions of the Custodial Agreement governing the decedent's IRA or the inherited IRA, as applicable. I accept full responsibility for complying with all BDA transfer requirements.

All Owners or Trustees must sign.

Owner, Custodian, Trustee, Plan Administrator or Authorized Officer Signature, Date

MM / DD / YEAR

Joint Owner, Trustee, Plan Administrator or Authorized Officer Signature, Date

MM / DD / YEAR

Medallion Signature Guarantee



5 Letter of Acceptance

To the previous trustee or custodian: Please be advised that _____ or National Financial Services LLC/Fidelity Management Trust Company will accept the account described herein as successor custodian/trustee.

Successor Custodian, Trustee Signature Date

MM / DD / YEAR

P6-003-001
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01/01

Registered Rep/Financial Advisor Name, Branch _____