Account Transfer Form

Completing an Account Transfer Form can be a time-consuming process that involves gathering information. However, seeking assistance via phone call provides prompt support and can be more effective. By contacting our helpline, investors can directly connect with an investment specialist who can offer guidance and address any questions you may have. To facilitate the account transfer process, we recommend contacting a live U.S.-based investment specialist at 1-800-235-8396.

Alternatively, if you prefer to transfer your account using an account transfer form, please ensure that you complete all the required sections and submit it securely through your message center on our website or mobile app.

Account Transfer Form

VictoryCapital®

Instructions

Complete all sections according to the instructions below. Please print or type all information. Return the completed form to your financial organization.

You must attach your most recent brokerage account statement to process this account transfer. For an internal transfer (for instance, a transfer of assets between two introducing broker-dealers who clear through Pershing) the brokerage account statement is not required. Non-U.S. positions being transferred into your account will be held in U.S. dollars unless your financial firm instructs Pershing to hold the non-U.S. positions in their original currency.

Step 1. Receiving Firm Information

- Provide your Pershing account number.
- Provide your Social Security Number (SSN) or Tax Identification Number (TIN).
- If the account is a joint account, provide the SSN or TIN for the joint owner.
- Provide the two character account type code that most accurately describes your account.

Step 2. Delivering Account Information

- Provide the clearing firm number. If there is no clearing firm number, enter the delivering firm name, contact name, and telephone number.
- Provide the original account number of the account you are delivering to Pershing.
- Provide the account title as it appears on your brokerage account statement for the account you are transferring.

Step 3. Transfer Type

Indicate the type of transfer you are requesting by checking the appropriate box. Pershing will only transfer positions in kind for retail accounts. For nonretirement accounts, the quickest way to liquidate your assets is to call your existing financial organization and place a sell order. In order to ensure that the trade is executed at the time and price you want, request to have the proceeds check mailed directly to you. For checks, please refer to delivery instructions on this page (include your account number on the check).

- A Direct Registration System (DRS)/Direct Reinvestment Plan (DRIP) transfer is a transfer of a position held directly at the transfer agent.
- A direct mutual fund transfer is a transfer in kind of a direct mutual fund position from the mutual fund company.
- Bank retirement plan accounts involve transfers of retirement plans at banks with CDs, checking accounts, or savings accounts. Please indicate if you want to liquidate immediately.

Step 4. Partial Transfers, Direct Mutual Funds, and Liquidations

If you selected Partial Transfer, use this section to specify the appropriate assets for a partial transfer. If you selected Direct Mutual Fund Transfer, use this section to identify the mutual fund positions to transfer.

- Liquidation instructions will only be accepted from non-National Securities Clearing Corporation (NSCC) firms.
- Select a dividend and capital gain option for direct, in kind mutual fund transfers. If a box is not checked, Pershing will process the transfer as reinvest, for dividend and capital gain options.
- If you have requested a liquidation, your market price is not guaranteed. You will receive the current market price after your transfer request is received, reviewed, and determined to be in good order by the delivering firm. Pershing is not responsible for market fluctuations or delays in the review process. DRS items cannot be liquidated.
- If you indicate that you want to defer instructions in your bank CD until maturity date, please specify the maturity date on this section.

Step 5. Retirement Plan Restrictions and Certifications

If you are transferring or completing a rollover of a retirement account and are over the age of 72, read this section carefully. Contact your investment professional or financial organization if you have any questions.

- The new custodian must provide the appropriate paperwork for you to establish your receiving retirement account.
- You must pay any applicable retirement maintenance and termination fees to your prior custodian before you can transfer assets. Any deposit made to your Pershing LLC account to reimburse fees charged at your prior custodian shall be processed as a reportable contribution.

Make the appropriate selection of the receiving custodian for your retirement account. If you have selected someone other than Pershing LLC as custodian, have your investment professional or financial organization obtain the necessary signatures to accept custodianship.

Step 6. One and the Same Person Certification

Only complete this section if the name on the receiving account and the name on the delivering account are not an exact match but are the same person. Examples of discrepancies include name differences due to abbreviations and suffixes (Sr., Jr., etc.).

Step 7. Participant Signature and Certification

- Sign and date the form.
- The form must be signed, dated, and signature guaranteed within 180 days of its receipt.

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Account Transfer Form

VictoryCapital®

STEP 1. RECEIVING FIRM INFORMATION

Only one receiving firm per form.

Receiving Firm Clearing Number	Account Number	
0443		
Primary Account Holder SSN/Tax ID	Secondary Account Holder SSN/Tax ID	Account Type (two-character code)

Account Type Codes

Nonretirement

SN Single
JT Joint
TR Trust
CT Cotrustee
CO Corporate
CU Custodian
ES Estate
BC Bank Collateral
AG Agency
OT Other

Retirement

IR Traditional IRA
RI Roth IRA
DR Direct Rollover
BI Beneficiary
BR Beneficiary Roth IRA
4K 401k
SI Simple IRA
QP Qualified Plan
EI Education Savings Account
SP Simplified Employee Pension Plan
4B 403b
7b 457 Plan
5p 529 Plan
HS Health Savings Account

STEP 2. DELIVERING ACCOUNT INFORMATION

A complete copy of your most recent brokerage account statement is necessary to process this form. Non-U.S. positions being transferred into your account will be held in U.S. dollars unless your financial firm instructs pershing to hold the non-U.S. positions in their original currency.

Clearing Number	Account Number
Firm Name	
Account Title (as it appears on your statement)	

Delivering Firm Contact Information (mandatory when clearing number is not provided)

Contact Name		Telephone Number
Firm Address (no P.O. box)		
City	State	Zip/Postal Code

STEP 3. TRANSFER TYPE

Choose only one. For transfer agents, electronically send positions or issue a certificate for whole shares and redeem fractional shares.

Direct Mutual Fund (only one fund family per form)

☐ Transfer mutual funds from the account held directly at the fund company (see list in the partial transfer, direct mutual funds, and liquidations section for exact instructions).

Account Transfer

☐ **Full** (check one below)

- ☐ Transfer all assets in kind (skip to the participant signatures and certifications section).
- ☐ Liquidate all assets. (liquidations are not for brokerage accounts).
- ☐ Transfer all assets in kind except for the assets listed in the partial transfer, direct mutual funds, and liquidations section, which require liquidation.
- ☐ Liquidate CD immediately and transfer cash. I am aware of and acknowledge any penalty I will incur from an early withdrawal.
- ☐ Liquidate CD upon maturity and transfer cash (include maturity date in liquidations section).

☐ **Partial** (complete the partial transfer, direct mutual funds, and liquidations section)

- ☐ Liquidate CD immediately and transfer cash. I am aware of and acknowledge any penalty I will incur from an early withdrawal.
- ☐ Liquidate CD upon maturity and transfer cash (include maturity date in liquidations section).

TFRR

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DRS/DRIP

☐ Full (check one below)

☐ Sell fractions and close account.

☐ Transfer all full shares only.

☐ **Partial** (list assets in the partial transfer, direct mutual funds, and liquidations section)

STEP 4. PARTIAL TRANSFERS, DIRECT MUTUAL FUNDS, AND LIQUIDATIONS

Liquidations involving Bank CDs, checking accounts, or savings accounts can only be processed from retirement accounts.

QUANTITY	ASSET DESCRIPTION	CUSIP[1]/SYMBOL	FUND ACCOUNT NUMBER	TRANSFER INSTRUCTIONS[2]	DIVIDEND OPTION[3]	CAPITAL GAIN OPTION[3]	ESTIMATED $ VALUE	MATURITY DATE
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		
				☐ Transfer in Kind ☐ Liquidate	☐ Cash ☐ Reinvest	☐ Cash ☐ Reinvest		

[1] CUSIP® belongs to its respective owner.

[2] If you have requested a liquidation, your market price is not guaranteed. You will receive the current market price after your transfer request is received, reviewed, and determined to be in good order by the delivering firm. Pershing is not responsible for market fluctuations or delays in the review process. DRS items cannot be liquidated.

[3] If this is a mutual fund transfer and there is no dividend or capital gain option checked in the section above, Pershing will process this request as reinvest.

For Office Use Only: All transfers must be added to Pershing's transfer system.

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STEP 5. RETIREMENT PLAN RESTRICTIONS AND CERTIFICATIONS

Age 72 restrictions: If you are age 72 or older this year and you are rolling over assets from a qualified plan or 403(b) account, you must take your required minimum distribution (RMD) from your distributing plan before rolling over your assets.

Rollover Certification of Employee: I hereby certify that I understand the rollover rules and conditions as they pertain to this retirement account, and I have met the requirements for making such a transaction, including the eligibility of these assets to be rolled over. In addition, I have been provided with information and/or educational materials regarding my rollover distribution options, which include:

1. I may be eligible to leave my account in my current employer-sponsored retirement plan;
2. I may transfer (roll over) my account into my new employer retirement plan (if my new employer offers a retirement plan that permits transfers to that plan);
3. I may roll over my account assets into an individual retirement account or annuity (IRA) with a bank, brokerage firm, insurance company or other financial institution that offers IRA programs; or
4. I may have my account paid directly to me with the understanding that there will be immediate income tax consequences, and possibly excise taxes.

Information and/or educational materials made available discussed many important advantages and disadvantages of the four options, including investment options, fees and expenses, services, penalty-free withdrawals, protection from creditors and legal judgments, required minimum distributions, and employer stock. I assume full responsibility for this rollover transaction and will not hold Pershing LLC liable for any adverse consequences that may result. I hereby irrevocably designate this contribution in funds or other property as a rollover contribution.

Inherited/Beneficiary Retirement Account Acknowledgment - If I am requesting a transfer of assets that I acquired on or after January 1, 2020, I acknowledge I may be subject to the 10-year distribution rule. Exceptions, including inheritance by spouses, do apply. Due to the complexity of RMD requirements for inherited accounts, I have been advised to speak with a tax professional.

To the Prior Trustee/Custodian

☐ Pershing LLC accepts appointment as successor custodian.

☐ Please be advised that the following does hereby accept appointment as successor custodian.

Successor Custodian's Firm Name	Date
Successor Custodian's Signature X	

STEP 6. ONE AND THE SAME PERSON CERTIFICATION

Please only complete this section if the account owner of both accounts is the same person but the name on the delivering account and the name of the receiving account are not an exact match. Examples of discrepancies include name differences due to abbreviations and suffixes (Sr., Jr., etc.).

By signing below, I certify that

Print Name on Account	***and***	Print Alternate Name

are legally one and the same person.

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STEP 7. PARTICIPANT SIGNATURE AND CERTIFICATION

To the Delivering Firm Named Above: If this account is a qualified retirement account, I have amended the applicable plan so that it names as successor custodian the trustee listed above. Unless otherwise indicated in the instruction above, please transfer all assets in my account to Pershing without penalties, such assets may be transferred within the time frames required by Financial Industry Regulatory Authority (FINRA) Rule 11870, or similar rule of FINRA or other designated examining authority. Unless otherwise indicated in the instructions above, 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. I authorize you to deduct any outstanding fees due to 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 to you, I authorize you 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 your physical possession, I instruct you 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 the sale, when, and as directed to me. I understand that upon receiving a copy of this transfer information, 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 in connection with my brokerage account. I understand that you will contact me with respect to the disposition of any assets in my brokerage account that are nontransferable.

Please attach your most recent brokerage account statement to process this account transfer.

Primary Account Holder

Print Name	Date
Signature X	

Secondary Account Holder (if applicable)

Print Name	Date
Signature X	

Investment Professional Information

Investment Professional Name	Investment Professional Telephone Number

SIGNATURE GUARANTEED BY (FOR INTERNAL USE ONLY)

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For Professional Use Only

Contact
Account Transfers (888) 367-2563

Send to
Pershing LLC
One Pershing Plaza
Jersey City
New Jersey 07399

Tax Identification Number
13-2741729

Checks*

Rollovers	All Other Transfers
Overnight Mail Pershing LLC Rollover Processing Attn: 382084 500 Ross Street 154-0455 Pittsburgh, PA 15262-0001	**Overnight Mail** Pershing LLC Transfer Processing Attn: 382091 500 Ross Street 154-0455 Pittsburgh, PA 15262-0001
Regular Mail Pershing LLC Rollover Processing PO Box 382084 Pittsburgh, PA 15250-8084	**Regular Mail** Pershing LLC Transfer Processing PO Box 382091 Pittsburgh, PA 15250-8091

Certificates*
Send certificates to the attention of Department S, Pershing LLC, One Pershing Plaza, Jersey City, New Jersey 07399

Limited Partnerships Documents*
Send limited partnership documents to the Non-ACAT Department, Pershing LLC, One Pershing Plaza, Jersey City, New Jersey 07399

Cost Basis*
Please deliver through the DTCC Cost Basis Reporting Service (CBRS), firm account 00000443 CBRS account 0000A00C. For Non CBRS firms please mail to Pershing LLC, One Pershing Plaza, Jersey City NJ 07399. Attention Cost Basis department or fax to (866) 355-5620.

Depository Trust and Clearing Corporation (DTCC) and Eligible Securities and Options*
Instruct DTCC eligible securities and the Options Clearing Corporation eligible options to clearing broker number 0443.

Federal Entry Securities*
Instruct federal entry securities, for instance, Treasury notes, to BK OF NYC/PERSHING, ABA number 021000018.

Federal Fund Wires (cash)*
To transfer federal funds to Pershing, your clients must provide the following wire instructions to the financial organization that will be transmitting the funds on their behalf:

Bank: The Bank of New York
ABA Number: 021000018
Beneficiary: Pershing LLC Beneficiary Account Number: 890-051238-5
Ultimate Beneficiary: Client's Brokerage Account Name
Ultimate Beneficiary Account Number: Client's Brokerage Account Number (for instance, 123-456789-1)

If any of the above information is missing, there may be a delay in crediting the account or the funds may be returned to the sender. With regard to incoming federal fund wires for retirement accounts for which Pershing LLC is the custodian or servicing agent, please notify Pershing via Service Center in NetExchange Pro®; (Retirement Processing category, Contributions request), on any contribution-related deposits to ensure that the funds are coded properly for tax reporting.

Foreign Securities*
Send all foreign securities to the Non-ACAT Department to setup instructions to receive the securities using Euroclear number 92146.

Reject Letters
Send all reject letters to the Non-ACAT Department.

Include Pershing account number on all documentation.

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