

# Account Transfer Form

Use this form to transfer assets held at another institution to your client's Folio Institutional account.

## Instructions

1. Complete and have your clients sign this form.
2. Attach your client's most recent account statement.
3. Send us the completed and signed form:

### Scan and Email

support@folioinstitutional.com

### Fax

703-649-6288

### U.S. Mail for IRA Accounts

ATTN: ACATS

Folio Institutional

PO Box 10265

McLean, VA 22102

### U.S. Mail for All Other Accounts

ATTN: ACATS

Folio Institutional

PO Box 10246

McLean, VA 22102

## Important Notes

- You must submit a separate Account Transfer Form for every account you want to transfer.
- Pending trades and other activity in your client's account may delay this transfer until all such actions have settled.
- The name and type of the account you are transferring should match the name and type of account your client maintains with us. If the name and type of account your client wishes to transfer do not match, please see the Guidelines section at the end of this form for more information and additional documentation requirements.
- Some assets, such as proprietary or load mutual funds, money market funds, bonds, foreign securities, unit investment trusts, CDs, or limited partnerships cannot be transferred directly to us. Because Folio Institutional does not custody these types of assets, we refer this business to the Kingdom Trust Company ("Kingdom"), which offers you the ability to provide fixed income and alternative investments to your clients. You may request that Kingdom custody alternative assets your clients may own. To open an account with Kingdom, complete and send us the Kingdom Trust Fixed Income and Alternative Asset New Account Package.
- Alternatively, you may sell these assets at the firm where they are currently held so the cash proceeds can be transferred to your client's Folio Institutional account. Because selling these investments may impact your client's taxes, we suggest you consult with a tax professional.

If you need assistance, call us at **1-888-485-3456**.

## PART 1: Information About Your Folio Institutional Account

<b>Account Information</b>	Account Number	Account Title
<b>Name</b>	Account Owner/Custodian/Trustee Name	Co-Account Owner/Custodian/Trustee Name
<b>Social Security Number/Tax ID</b>	Account Owner/Custodian/Trustee SSN/Tax ID	Co-Account Owner/Custodian/Trustee SSN/Tax ID

### ACCOUNT TYPE

Personal	Retirement	Employer Sponsored*	Business	Other
Custodial Individual Joint	Traditional IRA Roth IRA 5 year aging year: IRA Rollover SEP IRA SIMPLE IRA Beneficiary IRA	401(k) Qualified Plan	Corporate Sole Proprietorship LLC Limited Partnership	Investment Club Trust Other:

## PART 2: Information About The Account You Are Transferring

<b>Account Number</b>				
<b>Account Title</b>	If this does not match the account title above, you must provide a Letter of Authorization or other supporting documentation.			
<b>Financial Institution</b>	Name	Phone Number (     )     -		Firm Type: Brokerage Firm Trust Company Mutual Fund Company Bank/Credit Union Annuity/Insurance Company Transfer Agent
	Address			
	City	State	Zip Code	
	Country			

### ACCOUNT TYPE

Personal	Retirement	Employer Sponsored*	Business	Other
Custodial Individual Joint	Traditional IRA Roth IRA 5 year aging year: IRA Rollover SEP IRA SIMPLE IRA Beneficiary IRA	401(k) Qualified Plan	Corporate Sole Proprietorship LLC Limited Partnership	Investment Club Trust Other:

\* Attach an employer plan distribution form when transferring employer-sponsored accounts. The plan administrator should be able to provide you with the distribution form.

# PART 3: Account Transfer Instructions

## TRANSFER TYPE

Transfer the entire account

- If you checked Brokerage Firm in Part 2 of this form then skip to Part 4.
- If you selected any other type of firm currently holding your assets, and your account holds assets other than cash, attach your most recent statement and list the assets to be transferred below.

My entire account is in cash - Skip to Part 4 of this form.

Liquidate all assets and transfer as cash ("Liquidate" is not an option for ACAT-eligible transfers)

Transfer only the assets and cash listed below (use Part 5 if you need more room)

## ASSETS

### Cash

Transfer the entire cash balance

Transfer only the following cash amount: \$ \_\_\_\_\_

### Securities

Description of Securities (Including Stock Symbol)	Number of Shares or "All"	Transfer Shares to My Folio Institutional Account	Liquidate
		OR	
		OR	
		OR	
		OR	
		OR	
		OR	
		OR	
		OR	
		OR	
		OR	
		OR	
		OR	
		OR	

I have listed additional assets on Part 5: Additional Assets to Transfer

# PART 4: Authorization And Signature

## Instructions for Transferring Firm

When **Transfer the Entire Account** is selected in Part 3, please transfer all securities in kind; transfer all cash; liquidate and transfer as cash all money market funds, fractional shares and bonds; immobilize and transfer as book entry any public securities in certificate form or if not transferable then liquidate and transfer them as cash.

## Owner Authorization & Agreement

To the financial institution I have listed as the current holder of my account; I instruct you to transfer assets to Folio Investments, Inc. in accordance with my transfer instructions. 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 that obligation.

## Additional Full Account Transfer Agreement

I authorize you to liquidate assets such as proprietary money market funds and fractional shares that cannot be transferred between financial institutions that are part of my account in accordance with my transfer instructions and transfer the resulting credit balance. I understand that upon receiving a copy of these transfer instructions, 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 securities account. I am aware that if I sell any investments in the account after submitting this request that the cash proceeds may not accrue interest while the sale is being processed. If certificates or any other instruments in my account are in your physical possession, for registered, U.S. exchange traded equity securities, I instruct you to immobilize the certificates and put them into book entry form, and then transfer them. If they cannot be put into book entry form then they will be considered non-transferable assets and I instruct you to liquidate them. If they cannot be liquidated then you should send the certificates to me at my address of record. For domestic U.S. equity securities that are not registered securities, such as interests in limited partnerships or shares of securities that have not yet been registered for sale, I instruct you to mail the evidence of ownership you hold on my behalf to me at my address of record.

## Letter of Authorization (LOA) for Joint Account Transfers

If this is a joint account transfer, we acknowledge, agree and authorize the account described here be transferred to the Folio Investments, Inc. account described here, as specified in this document.

## Age 70½ Restrictions

If this is a retirement account transfer and I am over age 70½, I attest that I have met or will meet the required minimum distribution requirement for the current year.

By signing below, I (we) agree to the terms and conditions.

Attach a copy of your most recent statement and any other required documentation for the account you are transferring.

Account Owner/ Custodian/Trustee Name	<b>X</b>	Date (mm/dd/yyyy)  / /
Co-Account Owner/ Custodian/Trustee Name	<b>X</b>	Date (mm/dd/yyyy)  / /

All account owners must sign this document to authorize a transfer.

FOLIO USE ONLY		
RECEIVING FIRM: Folio Investments, Inc. CLEARING NO.: 0728		Medallion Signature Guarantee Program
Successor Custodian Signature	Date (mm/dd/yyyy)  / /	



## Guidelines for Transfers Between Accounts

Review these carefully, as transfers between accounts that are not of the same type or the same registration may have significant tax consequences, may require special compliance review and approval, or may even be prohibited.

### Transfers Between Taxable Individual and Joint Accounts

- You may transfer cash and securities between your individual taxable account at another firm and your individual account here with the same name and social security number (SSN).
- You may transfer cash and securities between your joint account at another firm and your joint account here with the same names and SSNs.
- You may transfer cash and securities between your joint account at another firm and your individual account here if the same name and SSN appears on both accounts and all account owners sign this form.
- You may transfer cash and securities from your individual taxable account at another firm to your joint account here on which their name and SSN appear.
- You may transfer cash and securities from your individual taxable account at another firm to your custodial account here if you created the custodial account.
- You may transfer cash and securities from your revocable trust account on which your name and SSN appear at another firm to their individual account here. For irrevocable trusts, we require the signatures of all trustees.

### Transfers Between Non-Taxable Accounts

- You may transfer cash and securities from one non-taxable account to another if the names and social security numbers are the same on both accounts and it is allowed under the guidelines below:

Account Transferring From	Account Can Transfer To
Roth IRA	Roth
Traditional IRA	Traditional, SEP, Qualified Plan*
SIMPLE IRA	Traditional, SIMPLE, SEP, Qualified Plan*
SEP IRA	Traditional, SEP, Qualified Plan*
457(b)	Traditional, SEP, Qualified Plan*
Qualified Plan	Traditional, SEP, Qualified Plan*
403(b)	Traditional, SEP, Qualified Plan*
Designated Roth IRA	Roth

\* Requires distribution plan from plan administrator.

### Transfers Between Corporate Accounts

- You may transfer cash and securities from one account to another if the entity name and tax identification number (SSN or TIN) match between the account held at another firm and the account here.