

To: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Contact: \_\_\_\_\_

Email forms to: **usbancorpinvestments@usbank.com**

or by mail: **Wealth Management Advisory and Service Center  
EP-MN-WS4M  
60 Livingston Ave  
St Paul, MN 55107**

Fax/email: \_\_\_\_\_

Phone: **800.888.4700. Mon-Fri 7:30am – 8:00pm  
Sat 9:00am – 5:00pm CT** \_\_\_\_\_

Re: \_\_\_\_\_

Fax: **866.721.7066** \_\_\_\_\_

Date: \_\_\_\_\_

Total Number of Pages: \_\_\_\_\_

Dear \_\_\_\_\_ :

Thank you for placing your trust in U.S. Bancorp Investments, Inc.

Enclosed you will find the form(s) necessary to process your request. Please review the instructions, complete the entirety of the form(s), and verify that they are appropriately signed and dated. Please initial and date any changes or modifications made on the form(s).

Along with the completed form(s), also include the following document(s) (if required):

We appreciate your business and if you have any questions concerning any of your accounts at U.S. Bancorp Investments, Inc., please contact Wealth Management Advisory and Service Center at 800.888.4700, Mon-Fri 7:30am-8:00pm Sat 9:00am - 5:00pm CT, or email [usbancorpinvestments@usbank.com](mailto:usbancorpinvestments@usbank.com).

Thank you for your business.

Sincerely,

U.S. Bancorp Investments, Inc.

**If you receive this message in error, please call me at the above number.** The information following this cover sheet and contained in this transmission is CONFIDENTIAL. It is intended for the sole use of the person(s) to whom it is addressed. If the reader of this message is not the named addressee or an employee or agent responsible for delivering this message to the intended recipient(s), please do not read the accompanying information. Note that the dissemination, distribution or duplication of this communication by anyone other than the addressee is strictly prohibited.

Investment and insurance products and services including annuities are available through U.S. Bancorp Investments, the marketing name for U.S. Bancorp Investments, Inc., member FINRA and SIPC, an investment adviser and a brokerage subsidiary of U.S. Bancorp and affiliate of U.S. Bank.

Insurance products are available through various affiliated non-bank insurance agencies, which are U.S. Bancorp subsidiaries.  
Products may not be available in all states. CA Insurance License# OE24641.

**Investment and insurance products and services including annuities are: NOT A DEPOSIT • NOT FDIC INSURED •  
MAY LOSE VALUE • NOT BANK GUARANTEED • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY**

All pages of the most recent statement of the account being transferred to U.S. Bancorp Investments must also be submitted with the Account Transfer Form. Please contact your U.S. Bancorp Investments Representative or call Wealth Management Advisory and Service Center at 1.800.888.4700 for assistance completing this form.

**Sec. 1**

- Enter the exact title of your U.S Bancorp Investments account. Reference account statement if available.
- Enter the primary Social Security number or tax identification number and the U.S. Bancorp Investments account number.
- If there is a joint owner on the account: Enter that person's name and Social Security number.
- Check the type of brokerage account that applies.
  - a) If the account is not a type of IRA: Check "Cash or margin."
  - b) If the account is an IRA: Check the type of IRA it is and be sure to complete Sec. 6 of this form.
- USBI will complete Rep name, Rep Phone and Rep ID

**Sec. 2**

- Enter all requested information about the account you are transferring to U.S. Bancorp Investments. You can find all the account details on your most recent account statement.

**Sec. 3 Brokerage Account Assets.** Check either "Full Transfer" or "Partial Transfer or Partial Liquidation" to tell U.S. Bancorp Investments what brokerage assets you want transferred to your U.S. Bancorp Investments account or have liquidated and the cash transferred to your U.S. Bancorp Investments account.

- "Full Transfer"
  - a) "Transfer all assets in kind" means that everything in the delivering account (the account currently holding the assets) will be transferred to your U.S. Bancorp Investments account in kind. "In kind" means that nothing will be sold; all transferable securities will simply transfer to U.S. Bancorp Investments. Any cash in the account will also transfer to U.S. Bancorp Investments.
  - b) "Liquidate all assets" means that every security in the delivering account will be sold and the proceeds will transfer to your U.S. Bancorp Investments account as cash. (Please note that some firms do not honor third-party liquidations. Validate with firm if liquidation is needed).
- "Partial Transfer or Partial Liquidation" allows you to request a specific quantity of a specific asset be transferred to U.S. Bancorp Investments or liquidated and the proceeds transferred to U.S. Bancorp Investments as cash.
  - a) You must complete the chart to tell U.S. Bancorp Investments the specific quantity of each specific asset to transfer to U.S. Bancorp Investments. Tell us how many shares to transfer, the name and symbol of the asset, and whether you want that asset sold (and the cash transferred to U.S. Bancorp Investments) or transferred in kind.

**Sec. 4 DRS = Direct Registration System** is a service offered by the Depository Trust Company ("DTC") which provides registered shareholders of the issuer with the option of holding their assets (shares) on the books and records of the Transfer Agent in book-entry form instead of a physical stock certificate.

**Sec. 5 Bank Account Assets.** Indicate if there is a bank savings account or bank certificate of deposit/time deposit you want transferred to your U.S. Bancorp Investments brokerage account. (Please contact Wealth Management Advisory and Service Center for additional assistance if needed).

- Bank Savings Account: Indicate whether you want all cash transferred or only a specific amount.
- Bank Certificate of Deposit: Indicate whether you want a CD transferred immediately (with or without penalty) or if you want to have it transfer when it matures. If choosing "at maturity": Write the date to liquidate.

**Sec. 6** Complete only if you told us that the account is an IRA back in Sec. 1.

- Write the dollar amount the account was valued at on the last day of last calendar year.
- Check the type of transfer and if Traditional IRA, also tell us what to do about Required Minimum Distribution (RMD).

**Sec. 7** Delivering firm instructions

**Sec. 8** Sign and date the form.

- If your U.S. Bancorp Investments contact has told you to have the form signature guaranteed: Do not sign until you are in the presence of a U.S. Bank or a U.S. Bancorp Investments employee who is authorized to Medallion Stamp the document.
- Please contact your U.S. Bancorp Investments Representative or call Wealth Management Advisory and Service Center at 1.800.888.4700 if you have questions whether a Signature Guarantee is required.

Investment and insurance products and services including annuities are available through U.S. Bancorp Investments, the marketing name for U.S. Bancorp Investments, Inc., member FINRA and SIPC, an investment adviser and a brokerage subsidiary of U.S. Bancorp and affiliate of U.S. Bank.

Insurance products are available through various affiliated non-bank insurance agencies, which are U.S. Bancorp subsidiaries.

Products may not be available in all states. CA Insurance License# OE24641.

**Investment and insurance products and services including annuities are: NOT A DEPOSIT • NOT FDIC INSURED •  
MAY LOSE VALUE • NOT BANK GUARANTEED • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY**

- Do not use to request a rollover or for an annuity transfer.
- Submit all pages of account statement dated within the last 90 days for account being moved.
- Use one form per account being transferred.

**1 U.S. Bancorp Investments, Inc. Account and Representative Information**

Title/Registration of Account/Primary Account Owner	SSN/TIN	Account #	Is the Account Owner a U.S. Bank Employee? <input type="checkbox"/> Yes <input type="checkbox"/> No (Default)
Joint Account Owner	SSN	Type of Account <input type="checkbox"/> Brokerage (Cash/Margin) <input type="checkbox"/> Roth IRA <input type="checkbox"/> SEP IRA <input type="checkbox"/> Traditional IRA <input type="checkbox"/> Inherited IRA <input type="checkbox"/> SIMPLE IRA	
Print Representative Name	Representative Phone (10 digits)	Rep ID#	

**2 Information About the Account You Are Transferring To U.S. Bancorp Investments**

Name of Firm Where Account Is Currently Held (Write exactly as printed in the top left corner of the statement.)	Broker Clearing Number (U.S. Bancorp Investments to complete)
Account Number At the Current Firm	Title/Registration of Account At the Current Firm

**3 Brokerage and Mutual Fund Transfer Instructions**

<p><b>Full transfer</b></p> <input type="checkbox"/> Transfer all assets in kind. Do not complete chart below. <input type="checkbox"/> Liquidate all assets. Do not complete chart below.	<p><b>Partial Transfer or Partial Liquidation</b></p> <input type="checkbox"/> Transfer only those account assets as indicated below. Complete chart below. CUSIP or symbol required. Get from current statement.															
<table border="1"> <thead> <tr> <th># of Shares or "All"</th> <th>Description of Asset. CUSIP or symbol required.</th> <th>ACTION. Check one.</th> </tr> </thead> <tbody> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer-in-kind</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer-in-kind</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer-in-kind</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer-in-kind</td> </tr> </tbody> </table>	# of Shares or "All"	Description of Asset. CUSIP or symbol required.	ACTION. Check one.	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer-in-kind	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer-in-kind	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer-in-kind	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer-in-kind	
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<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Liquidate <input type="checkbox"/> Transfer-in-kind														

**4 Direct Registration System Stock Transfers (DRS)**

<p>Select from one of the following to USBI</p> <input type="checkbox"/> Transfer all Whole Shares and have Agent Sell Fractions <input type="checkbox"/> Transfer all Whole Shares – Keep Fractions with Agent <input type="checkbox"/> Transfer all Whole Shares, have Agent Sell Fractions and Close Account with Agent <input type="checkbox"/> Move Specified Number of Whole Shares (no fractions). Number of Whole Shares to be Transferred: _____
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**5 Savings Account or Certificate of Deposit (CD) Transfer Instructions**

<p>Savings Account</p> <input type="checkbox"/> All cash in account. <input type="checkbox"/> Only \$ _____	<p>Certificate of Deposit (Check one)</p> <input type="checkbox"/> Liquidate immediately. I am aware of and acknowledge the penalty I will incur from an early withdrawal. <input type="checkbox"/> Liquidate on maturity date: ____/____/____
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**6 IRA Transfer Instructions** (Cannot use this form to request the rollover of a qualified plan.)

<p>Current fair market value: \$ _____</p>	<input type="checkbox"/> Transfer Traditional to Traditional <input type="checkbox"/> Transfer SEP IRA to SEP IRA <input type="checkbox"/> Transfer Roth IRA to Roth IRA <input type="checkbox"/> Transfer SEP IRA to Traditional IRA	<input type="checkbox"/> Transfer SIMPLE IRA to Traditional IRA. Can only occur if 24 months have passed since opening SIMPLE. <input type="checkbox"/> Transfer SIMPLE IRA to SIMPLE IRA <input type="checkbox"/> Transfer Inherited IRA to Inherited IRA
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## 7 Delivery Instructions

Call 1.855.497.5853 with questions.

<p>Checks</p> <p>1. Must be made payable to: U.S. Bancorp Investments FBO [Client's name] + account number</p> <p>2. Mail to: U.S. Bancorp Investments Cash Control Department EP-MN-WN2C 60 Livingston Avenue St. Paul, MN 55107</p>	<p>Securities (Reference client name and USBI account number.) Send via secured delivery to: U.S. Bancorp Investments Security Cashier EP-MN-WN1B 60 Livingston Avenue St. Paul, MN 55107-2292</p>
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### Delivery Instructions for All Other Investments

- **ACAT Mutual Fund:** U.S. Bancorp Investments, Transfer Dept., EP-MN-WN2L, 60 Livingston Ave., St. Paul, MN 55107-2292
- **Dividend Reinvestment:** Liquidate all fractional shares and discontinue dividend reinvestment.
- **DTC-Eligible Securities:** DTC number 0280 (Code 40).
- **Options:** Pershing 4XR000021 Clearing #0443.
- **Fed Entry Securities, e.g., Treasury Notes:** BK of NYC, ABA 021000018, Third party = USBANCORP.
- **Fed-wired Monies:** ABA 091000022, Phase3 Account #173101852106, for further credit to account in Sec. 1 above.
- **Foreign Securities:** Pershing, Euro Clear 92146 (vs. free), Acct # 4XR000054.
- **Money Funds:** Liquidate and send check or wire following instructions in "Fed-wired Monies."

## 8 Signatures and Certification

**SERVICE OF AN EXISTING INVESTMENT.** If U.S. Bancorp Investments is unable or unwilling to service an existing investment that is currently held outside of U.S. Bancorp Investments, U.S. Bancorp Investments or the representative will advise the client of this fact, as well as the option that the client may have to continue to hold the investment at the client's prior firm, before recommending that the client liquidate or surrender the investment.

**BROKERAGE ASSETS.** To carrying firm: Transfer assets in my account to U.S. Bancorp Investments, Inc., as indicated above. 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 NYSE Rule 412 or similar rule of the FINRA or other designated examining authority. 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 U.S. Bancorp Investments. 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 sufficient to satisfy any outstanding fees due you, I authorize you to liquidate assets in my account to the extent necessary to satisfy that

obligation. If certificates or other investments 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 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, if this is a full transfer, 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 understand that you will contact me with respect to the disposition of any assets in my securities account that are nontransferable.

**RETIREMENT ACCOUNTS.** If this account is a qualified retirement account, I have amended the applicable plan so it names U.S. Bank, National Association, as successor custodian and U.S. Bancorp Investments, Inc., as broker. You are authorized to deduct any outstanding fees due the custodian/trustee from the credit balance in the account or if the credit balance in the account is insufficient to satisfy any outstanding fees due the custodian/trustee, to liquidate assets in the account to the extent necessary to satisfy any outstanding fees due.

\_\_\_\_\_  
Signature of Primary Account Owner/Responsible Party      Date

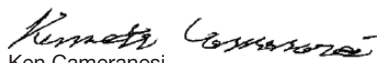
SIGNATURE GUARANTEE. (Required only for Non-ACATS transfer request. Must be affixed before submitting to U.S. Bancorp Investments Transfer Department.)

\_\_\_\_\_  
Signature of Joint Account Owner      Date

SIGNATURE GUARANTEE. (Required only for Non-ACATS transfer request. Must be affixed before submitting to U.S. Bancorp Investments Transfer Department.)

### LETTER OF AUTHORIZATION.

- 1) If an IRA, U.S. Bank N.A. will accept the above account as successor custodian.
- 2) If not an IRA, U.S. Bancorp Investments, Inc., will accept the above account as successor depository/custodian.

  
Ken Cameranesi  
Chief Executive Officer, U.S. Bancorp Investments, Inc.

### Instruction for U.S. Bancorp Investment Representative Only

**For ACAT Transfers:** Submit via workflow, provide a copy to client and original to branch file.

**For Non-ACAT Transfers:** Original to Account Transfers, EP-MN-WN2L, 60 Livingston Ave., St. Paul, MN 55107, copy to client and copy to branch file.



