



# Account transfer-in form

Please use this form to transfer assets from an external (sending) account to your Merrill Edge® (receiving) account.

## Things to know before you begin:

- Remember to update any automatic deposits or withdrawals you've set up on the account you're transferring to Merrill Edge®.
- If you are rolling over assets from a 401(k) or other employer-sponsored plan, consider all your choices.
- Some transfers — including annuities — may result in tax consequences, penalties or financial risk. Consult your tax and financial professionals before requesting this transfer.
- This form **cannot** be used to move assets between Merrill Edge® accounts.

Please complete this form and return to your Merrill Edge Financial Solutions Advisor™ (if applicable).

Advisor name

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Advisor phone number

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Or return via:

## Overnight and Regular Mail:

Merrill Edge  
3315 Central Avenue  
Hot Springs, AR 71913  
Mailstop 29076

Fax

866.827.8879

## DOCUMENT COMPLETION CHECKLIST

For best results, please complete the information requested in Sections 1 to 3 using ALL CAPITAL letters and BLACK ink. Use one form for each account that you are transferring.

1. Print this form and fill in completely with all required signatures.
2. Print all pages of your most recent (dated within last six months) statement and submit with this form.
3. Complete and attach additional forms if required.
4. Send all documents to the appropriate mail address or fax number at left.

### How to avoid errors:

- Use one form for each account that you are transferring.

### Section 1

- Complete all required fields for your Merrill Edge and the external account.

### Section 2

- Complete **ONLY ONE** section – A, B or C.
- Select Full Asset Transfer or designate Partial Assets to be transferred.
- Ensure assets are transferable to Merrill Edge.

### Section 3

- Sign and date this form.

Additional Guidance is provided starting on page 6.

## Any questions?

If you have any questions regarding this form, please call us 24/7 at **877.653.4732**.

## 1. Please enter your Merrill Edge (receiving) account information

ALL fields are required.

Select **ONE** receiving account type.

List all names **EXACTLY** as they appear on the account.

For additional account owners, complete another copy of this page.

### Merrill Edge Account Number

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### Non-Retirement Account

- Individual       Joint  
 Trust             Business  
 Estate            Partnership  
 UGMA/UTMA    Corporate

### Retirement Account

- Traditional IRA    Rollover IRA  
 SIMPLE IRA       Inherited IRA  
 Roth IRA           Inherited Roth IRA  
 SEP IRA

Other (please specify)

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### Account Owner(s)

First Name (Primary Account Owner)	M.I.	Last Name	Social Security Number
<input style="width: 95%;" type="text"/>	<input style="width: 20px;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

First Name (ADD'L Account Owner, if applicable)	M.I.	Last Name	Social Security Number
<input style="width: 95%;" type="text"/>	<input style="width: 20px;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

Trust or Entity Name (if applicable)	Tax ID Number (if applicable)
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

## Tell us about the external (sending) account you are transferring

ALL fields are required.

Select **ONE** sending account type.

List all names **EXACTLY** as they appear on the account.

For additional account owners, complete another copy of this page.

### External Account Number

### Name of Financial Institution

### Non-Retirement Account

- Individual       Joint  
 Trust             Business  
 Estate            Partnership  
 UGMA/UTMA    Corporate

### Retirement Account

- Traditional IRA    Rollover IRA  
 SIMPLE IRA       Inherited IRA  
 Roth IRA           Inherited Roth IRA  
 SEP IRA

Other (please specify)

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### Account Owner(s)

First Name (Primary Account Owner)	M.I.	Last Name	Social Security Number
<input style="width: 95%;" type="text"/>	<input style="width: 20px;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

Phone Number	Email Address
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

First Name (ADD'L Account Owner, if applicable)	M.I.	Last Name	Social Security Number
<input style="width: 95%;" type="text"/>	<input style="width: 20px;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

Trust or Entity Name (if applicable)	Tax ID Number (if applicable)
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

**Need help? Call 877.653.4732 to speak with a Merrill Edge specialist.**

## 2. List assets to transfer over (Complete only ONE section – A, B or C)

### A.

Select **ONE** transfer option.

See **Additional Guidance** for low-priced stocks.

Complete only ONE section. If not indicated, Merrill Edge will transfer shares in kind.

#### Transfer an account from a broker-dealer or bank trust

##### FULL TRANSFER

- FULL LIQUIDATION:**  
Liquidate my entire account and transfer in cash.
- FULL TRANSFER AFTER PARTIAL LIQUIDATION:**  
Transfer ALL assets in kind after liquidating the assets listed below. (Complete the table below.)
- FULL TRANSFER IN KIND:**  
Transfer ALL assets in kind.

**OR**

##### PARTIAL TRANSFER

(Do not close the account.)

- PARTIAL TRANSFER:**  
Transfer only the assets listed below.  
(Complete the table below.)

Security Name	Security Symbol	Quantity (# of shares or "ALL")	Transfer in Kind	Liquidate and Transfer Cash
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>

If additional space is required, print a copy of this page and attach to this request.

**CASH:** For **PARTIAL TRANSFER IN KIND** or **PARTIAL LIQUIDATION** only, enter the value for cash that you are transferring (if applicable).

\$ \_\_\_\_\_

### B.

Select **ONE** transfer option.

Complete only ONE section.

#### Transfer an account from a mutual fund company

For information on which mutual funds can be transferred to Merrill Edge, please contact your Merrill Edge Financial Solutions Advisor, visit [merrilledge.com](http://merrilledge.com) or call 888.637.3343 for assistance.

- FULL TRANSFER:**  
Transfer all assets in my account(s) and close the account.  
(Complete the table below.)

**OR**

- PARTIAL TRANSFER:**  
Transfer only the assets listed below.  
Do not close the account.  
(Complete the table below.)

Fund Name	Fund Symbol	Account #	Quantity (# of shares or "ALL")	Transfer in Kind	Liquidate and Transfer Cash
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>

If additional space is required, print a copy of this page and attach to this request.

### C.

Select **ONE** transfer option.

Complete only ONE section.

#### Certificates of deposit/money market accounts at a bank

Please contact your Merrill Edge Financial Solutions Advisor, visit [merrilledge.com](http://merrilledge.com) or call 888.637.3343 for assistance.

- Immediately liquidate CDs and transfer in cash. (Full transfer only).  
You may be charged a penalty for early withdrawal.

**OR**

- Wait to liquidate CDs and transfer in cash when CDs mature on \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ (MM/DD/YYYY).

For this option, submit your request at least 7 days, but no more than 14 days, before maturity to ensure that we can process this request.

- Immediately liquidate money market and transfer in cash.  
 Full transfer    Partial transfer

\$ \_\_\_\_\_

\_\_\_\_\_  
(Branch/Credit Union Name)

\_\_\_\_\_  
(Street Address)

\_\_\_\_\_  
(City, State)

\_\_\_\_\_  
(Zip Code)

**Need help? Call 877.653.4732 to speak with a Merrill Edge specialist.**

### 3. Sign and date

Please contact your Merrill Edge Financial Solutions Advisor, visit [merrilledge.com](http://merrilledge.com) or call 888.637.3343 for assistance.

#### You direct the delivering firm to:

- Transfer your account to Merrill Edge as you have instructed on this form, even though the Merrill Edge account may have a different account title or different taxpayer identification number from the delivering account.
- Liquidate proprietary money market funds, if any exist, and transfer in cash to Merrill Edge unless you instruct otherwise. Proprietary mutual funds or money market funds may not be transferable to Merrill Edge. You should consult your tax and financial professionals regarding any fees or tax consequences that may result from liquidations of proprietary funds.
- Deduct any outstanding fees from the credit balance in your account. If a credit balance does not exist or does not cover the balance due, liquidate assets in the account to the extent necessary to satisfy the balance due.
- Transfer any certificates or other instruments held in the firm's physical possession in good deliverable form. Affix any necessary tax waivers so Merrill Edge can transfer them in its name when directed to sell them.
- Freeze your account when this transfer is validated, which includes canceling all open orders and not accepting new orders on the transferring account (except for transactions closing option positions that expire within seven days).
- Release any requested historical information to Merrill Edge about the account you're transferring.

#### You acknowledge that:

- Certain assets may not be readily transferable, with or without penalty, within the time frame required by FINRA Rule 11870 or another designated authority.
- Certain assets may not be transferable to Merrill Edge, such as penny stocks, proprietary mutual funds or money market funds, and your request may be rejected. You should consult your tax and financial professionals regarding any fees or tax consequences that may result from liquidations of proprietary funds. You cannot resubmit your request until you remove non-transferable assets. For other types of non-transferable assets, you will be contacted in writing by Merrill Edge or the delivering firm to determine how you want to dispose of such assets.
- Credit cards, debit cards or unused checks issued to you for the transferring account have been destroyed or returned to the delivering firm.
- If transferring assets in a retirement account, none of the amount transferred includes the required minimum distribution that you are required to take this year.
- If transferring a retirement plan account and the delivering firm is trustee or custodian, you represent that you have appropriately amended the plan and named Merrill Lynch as successor custodian or trustee.

**All account holders or authorized signers of accounts listed in Section 1 of this form must sign below.** If an account holder's name appears differently on either account, the owner must sign the form using all name variations (e.g., maiden name and married name). The Medallion Signature Guarantee is only required if you are transferring from one account ownership type to another (e.g., individual account to joint account) or the ownership names on the accounts you are transferring do not exactly match your Merrill Edge account (e.g., maiden name and married name or nickname and legal name).

Print Primary Account Owner's Name		Medallion Signature Guarantee
Primary Account Owner's Signature	Date (MM / DD / YYYY)	
Print Co-Account Owner's Name		
Co-Account Owner's Signature	Date (MM / DD / YYYY)	
Print Additional Account Owner's Name		
Additional Account Owner's Signature	Date (MM / DD / YYYY)	

If additional space is required, print a copy of this page and attach to this request.

## Merrill Edge office use only

**For retirement accounts only.** To the prior custodian or trustee of the retirement account designated on this form for transfer: Merrill Lynch accepts the appointment as successor custodian.

SUCCESSOR CUSTODIAN SIGNATURE (*Merrill Lynch Authorized Signer*)

Date

X

## Instructions for delivering firm

Instructions for delivering firm	<p>ASSET TYPE</p> <p><b>Checks and Re-registration Papers</b> for cash and margin accounts</p> <p><b>Cash Transfers</b> between retirement accounts</p>	<p>DELIVERY INSTRUCTIONS</p> <p>Make checks payable to: Merrill Lynch, Pierce, Fenner &amp; Smith Incorporated as custodian FAO/FBO Client Name Merrill Edge Account Number</p> <p>Mail to: Merrill Lynch Attn: Cash Management Services Mail Code: FL9-801-01-02 4802 Deer Lake Drive East Jacksonville, FL 32246-6484</p> <p>Do not send physical certificates to this address.</p>
	<p><b>All DTC-Eligible Securities</b></p>	<p>Deliver to DTC Clearing 0671 vs. Payment 8862 vs. Receipt-free</p>
	<p><b>Physical Delivery of Securities</b></p>	<p>DTCC NYW Broker 671 MLPFS 570 Washington Boulevard Jersey City, NJ 07310 Attn: Central Delivery, 5th floor</p>
	<p><b>Federal Settlements</b> All Custody U.S. Treasuries (Bonds, Bills, Notes, Agencies)</p> <p>Federal Book-Entry Mortgage All MBS products (FHLMC, FNMA, GNMA, MO, etc.)</p>	<p>BK OF NYC/MLPFS ABA Number: 021000018 Further credit to client name and Merrill Lynch account number</p>
	<p><b>Federal Wire Funds</b></p>	<p>Bank of America, N.A. 100 West 33rd Street New York, NY 10001 ABA Number: 026009593 SWIFT Address for International Banks: BOFAUS3N Account Number: 6550113516 Name: Merrill Lynch Pierce Fenner and Smith, New York, NY Reference: Merrill Lynch 8-digit account number and account title</p>
	<p><b>Limited Partnerships</b></p>	<p>Merrill Lynch SSS/Limited Partnership Operations 4800 Deer Lake Drive East Mail Code: FL9-805-01-08 Jacksonville, FL 32246-6484</p>



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## Additional Guidance

### Definitions

**Account titling** refers to the name(s) of the owner(s) who is (are) legally responsible for the account.

**Eligible security** means that the security may be held and traded by Merrill Edge. If you have questions, please contact your Merrill Edge Financial Solutions Advisor or call us at **877.653.4732**.

**Liquidation** means converting assets into cash.

**Low-priced stock** (“penny stock”) means any equity security that is priced below \$6 per share for Advised accounts or \$1 per share for Online accounts; is not purchased or sold on a U.S. exchange; and for which Merrill Lynch does not make a market. Due to the potential volatility and risk related to low-priced stocks, Merrill Edge has special restrictions on orders in low-priced stocks.

**Medallion Signature Guarantee** is a special signature guarantee for the transfer of securities. It is a guarantee by the transferring financial institution that the signature is genuine and the financial institution accepts liability for any forgery. Signature guarantees protect shareholders by preventing unauthorized transfers and possible investor losses. If you have questions, please refer to the additional Medallion Signature Guarantee guidance on page 7 or contact a Merrill Edge Specialist at **877.653.4732**.

**Transfer in kind** means that eligible security holdings will be transferred as whole shares to the Merrill Edge account.

### Rollovers

If you’re rolling over assets from a 401(k) or other employer-sponsored plan, consider all of your choices. You may be able to roll over to an IRA, roll over an old 401(k) to a 401(k) at a new employer, take a distribution or leave the account where it is, depending on your unique financial needs and retirement goals. Each choice may offer different benefits and limitations including investment options and services, fees and expenses, withdrawal options, required minimum distributions, tax treatment and protection from creditors and legal judgments. Additionally, there are limits to how often and when you can roll over your account.

### Annuities

Transferring annuities may result in tax consequences, penalties or financial risk. If you need to surrender all or part of an annuity, please contact your annuity carrier.

Your annuity carrier will require annuity-specific paperwork to complete your transfer request. For annuity transfers, a Merrill Edge Financial Solutions Advisor™ can provide you with an Annuity Transfer form.

## Additional documentation may be required for the following types of transfer requests:

Transfers from this type of account:	To these types of accounts:	Require the following additional documents:
Custodial	<ul style="list-style-type: none"> <li>Individual</li> <li>Trust</li> <li>Estate</li> </ul>	<ul style="list-style-type: none"> <li>Proof of age (e.g., driver’s license)</li> <li>Statement</li> </ul>
Estate	<ul style="list-style-type: none"> <li>Individual</li> <li>Joint</li> <li>Trust</li> </ul>	<ul style="list-style-type: none"> <li>Death certificate</li> <li>Affidavit of domicile</li> <li>Letter of testamentary</li> <li>Statement</li> </ul>
Guardian	<ul style="list-style-type: none"> <li>Individual</li> </ul>	<ul style="list-style-type: none"> <li>Proof of age</li> <li>Termination of guardianship</li> <li>Statement</li> </ul>
Partnership	<ul style="list-style-type: none"> <li>Trust</li> <li>Corporation</li> </ul>	<ul style="list-style-type: none"> <li>Partnership agreement</li> <li>Statement</li> </ul>
Corporation	<ul style="list-style-type: none"> <li>Trust</li> <li>Partnership</li> </ul>	<ul style="list-style-type: none"> <li>Corporate agreement</li> <li>Statement</li> </ul>
Trust	<ul style="list-style-type: none"> <li>Corporation</li> <li>Partnership</li> </ul>	<ul style="list-style-type: none"> <li>Trust agreement</li> <li>Statement</li> </ul>

## Frequently asked questions

How long will it take for my account to transfer?	Many firms transfer assets using an automated transfer process, which typically takes 5–7 business days to complete. Other firms either do not use the automated process or must process some assets manually, which can take 3–6 weeks to complete.
How do I transfer mutual funds?	If you would like all assets to be transferred in kind, please select Full Transfer. If you would like specific funds or share amounts, please select Partial Transfer and list the assets to be transferred. If Merrill Edge cannot hold these funds, they must be liquidated by the current custodian prior to transfer.
How do I know if Merrill Edge can hold my mutual funds?	Please call a Merrill Edge specialist at <b>877.653.4732</b> .
For transfers between unlike account titles, what signatures are required?	All parties involved in the transfer are required to sign the application in Section 3. Both signatures may require a Medallion Signature Guarantee. If you have questions, please refer to the additional Medallion Signature Guarantee guidance on page 7 or contact a Merrill Edge Specialist at <b>877.653.4732</b> .
For transfers between unlike account titles, what additional documents are required?	If the Account Owner names listed in Section 1 are not EXACTLY the same, but DO refer to the same person, please contact your Merrill Edge Financial Solutions Advisor™ or call us at <b>877.653.4732</b> .
How do I include additional signatures?	If you need additional space for signatures, print a copy of the signature page and attach to this request.

## Medallion Signature Guarantee

What is it?	What is it used for?
Medallion Signature Guarantee is a certification stamp used to protect shareholder accounts and prevent the unauthorized transfer of assets. By stamping documents, the endorser certifies the signature is genuine and the person signing is legally authorized to do so.	Medallion Signature Guarantee is used as a security measure to protect shareholders and investment firms for transactions involving the sale or transfer of stocks, warrants and other securities; bonds and savings bonds; mutual funds; unit investment trusts.

### When will it be provided?

Merrill Edge will generally provide Medallion Signature Guarantee for incoming asset transfers for the following scenarios:

- A transfer with matching account registration
- Driver's license or other government-issued ID is provided for transfer from an individual account to a joint account with same account owner (additional security questions are required)
- Driver's license or other government-issued ID is provided for liquidation request for retirement account valuing \$200,000 or more
- Driver's license or other government-issued ID is provided for liquidation request for retail account valuing \$100,000 or more
- Account re-registration

**Re-registration requires the following documentation:** DRS form, recent external (sending) account statement, death certificate, re-registration paperwork from external (sending) firm and affidavit of domicile.

### Merrill Edge will not provide, but does require, the Medallion Signature Guarantee for incoming transfers with unlike registrations, including:

- Joint account transferring to an Individual account
- Name Mismatch form

All transfer request documents can be submitted to us in one of the following ways:

Regular mailing address	Overnight mailing address
<b>MERRILL EDGE</b> <b>P.O. BOX 29076</b> <b>HOT SPRINGS, AR 71903</b>	<b>MERRILL EDGE</b> <b>3315 CENTRAL AVENUE</b> <b>MAIL STOP 29076</b> <b>HOT SPRINGS, AR 71903</b>
<b>General Fax Line: 866.827.8879</b>	

For further information, please contact Merrill Edge at **877.653.4732** between 8 a.m. and 7 p.m. Eastern.


Merrill Edge is available through Merrill Lynch, Pierce, Fenner & Smith Incorporated ("MLPF&S"), and consists of the Merrill Edge Advisory Center™ (investment guidance) and self-directed online investing.

MLPF&S is a registered broker-dealer, Member SIPC and a wholly owned subsidiary of Bank of America Corporation.

Investment products:

<b>Are Not FDIC Insured</b>	<b>Are Not Bank Guaranteed</b>	<b>May Lose Value</b>
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