

# Incoming Direct Registration Systems/Deposit and Withdrawal at Custodian Authorization Letter



Please use this form to transfer securities from a transfer agent to Merrill Lynch, Pierce, Fenner & Smith Incorporated (Merrill Lynch). Please take a moment to review the instructions below.

- Account Information:** You must complete all information in Section 1 of this form.
- Transfer Agent Information:** Please provide all information in Section 2 of this form.
- Security Information:** Complete a separate form for each security that you are transferring from a transfer agent to Merrill Edge®. Please be sure to include your most recent account statement, dated within six months.
- Transfer Instructions:** Select only one option in Section 4, specific to your transfer request. Deposit and Withdrawal at Custodian (**DWAC**) transfers must select **Option 1**.
- If you wish to transfer a specific number of full shares, please select **Option 1**. Please be sure to provide the exact share quantity that you would like delivered. *Please note that fractional shares cannot be delivered.*
  - If you wish to transfer all full shares, please select **Option 2**.
  - If you wish to transfer all full shares and have the fractional shares liquidated, please select **Option 3**.
  - If you wish to transfer all full shares, have the fractional shares liquidated, and close the account, please select **Option 4**.
- Account Holder Signature(s):** The signatures of all account holders are required in Section 5. The signatures will need to be guaranteed with a **Medallion Signature Guarantee Stamp** in the event the transfer is between unlike registrations. A Medallion Signature Guarantee Stamp is not required for same name transfers.
- Return Form:** The return information is included. You may return via regular mail, overnight mail or fax.

Estimated delivery time frame is 48 to 72 hours. The anticipated time frame is subject to the delivering firm's capabilities to move securities between institutions. Time frames are from date of receipt of instructions and may vary.

**Overnight and Regular Mail:**

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

**By Fax:**

866.827.8879


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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## 1. Your Account Information

Account Holder Name (First, Middle, Last)

Co-Account Holder Name (First, Middle, Last)

Account Number:

Account Type:

CMA  IRA  IRRA  ROTH  SEP  Other \_\_\_\_\_

Street

City

State

Zip

Daytime Telephone Number

Taxpayer Identification Number (TIN)/

Social Security Number (SSN):

## 2. Transfer Agent Information

Name of Transfer Agent

Account Type

Account Number (Key)

### DWAC ONLY:

Control/Transaction Number if available

Name of Transfer Agent Account

Taxpayer Identification Number (TIN)/

Social Security Number (SSN) on Agent Account:

Title of Your Account

## 3. Security Information

**Note:** Please be sure to include your most recent account statement, dated within the last six months.

Stock Name

Number of Shares

Stock Symbol

## 4. Transfer Instructions

Please select one of the following options: (DWAC transfers must select **Option 1** and specify the share amount.)

- Transfer \_\_\_\_\_ full shares (Insert number of full shares you would like transferred from Transfer Agent.)
- Transfer **all** full shares
- Transfer **all** full shares and liquidate the fractional shares (Check will be mailed to the address of record for proceeds of liquidated fractional shares.)
- Transfer **all** full shares, liquidate fractional shares, and close the account

## 5. Signatures/Medallion Signature Guarantee Stamp

Account Holder Signature

Date

Co-Account Holder Signature

Date

**IMPORTANT NOTICE:** 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).

**Medallion Signature Guarantee Stamp**

(Note: Stamp not required for same name transfers.)

**Medallion Signature Guarantee Stamp**

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