

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



Please use this form to transfer securities through the Direct Registration System (DRS) or Deposit and Withdrawal from a custodian to Merrill Lynch, Pierce, Fenner & Smith Incorporated (Merrill Lynch).

**Direct Registration System (DRS):** A DRS transfer is most commonly used when your securities are held directly on the books and records of a transfer agent and you would like to move those securities to Merrill Edge.



**Your transfer request is a DRS transfer if:**

- The shares are already issued and are registered to you.
- You have an account number with the transfer agent and receive statements.

**Deposit and Withdrawal at Custodian (DWAC):** A DWAC refers to new or certified paper shares to be electronically transferred. This transfer option is typically used for shares that were awarded from a company/employer and will need to be pulled from a pool of shares to complete the electronic transfer.



**Your transfer request is a DWAC transfer if:**

- The shares are new and will need to be pulled from a pool of shares.
- You do not have a personal account with the transfer agent and do not receive statements.

**Avoid transfer delays! Please review the following section:**

- Use one form for each account that you are transferring.
- Complete this entire form and use **CAPITAL** letters and **BLACK** ink.
- Complete **only** DRS section (2a) **OR** DWAC section (2b) on transfer form.
- For DRS transfers, print all pages of your most recent statement dated within the last six months and submit with this form.
- Send all documents to us using one of these methods:



**Overnight and Regular Mail**

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



**Fax**

866.827.8879  
**Attention:**  
Account Funding



**Online**

Go to MerrillEdge.com  
and use the Secure  
Message Center portal

Financial Solutions Advisor: \_\_\_\_\_ Phone number: \_\_\_\_\_

**If any of the following scenarios apply:**

**Provide a copy of the following documentation:**

<b>Different last name</b>	Marriage, divorce or legal name change
<b>Individually owned to a jointly owned Merrill Edge account</b>	Driver's license or government-issued ID for all account owners; we may also contact you for additional requirements
<b>Jointly owned account to an individual Merrill Edge account</b>	Please call a Merrill Edge specialist at 877.653.4732
<b>Different Trustees</b>	Updated Trust Agreement

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

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Complete ALL fields

## 1. Please enter your Merrill Edge account information:

Account number:    -      Taxpayer Identification Number or Social Security number \_\_\_\_\_

Use CAPITAL letters and BLACK ink.

Account holder name (first, middle, last) \_\_\_\_\_

Co-account holder name (first, middle, last) \_\_\_\_\_

Account type (select one): \_\_\_\_\_

Non-retirement

Retirement

Street \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

ZIP code \_\_\_\_\_

## 2. Please enter transfer agent's information:

Complete only section 2a or 2b

**2a.  Direct Registration System(DRS):** DRS will allow you to electronically transfer shares from the transfer agent to Merrill Edge.

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

Name of transfer agent \_\_\_\_\_

Account number (key) \_\_\_\_\_

Stock name \_\_\_\_\_

Stock symbol \_\_\_\_\_

Transfer Instructions (select one)

1.  Transfer \_\_\_\_\_ whole shares. (insert # to be transferred)

2.  Transfer all whole shares, liquidate fractional shares, and close the account.

**2b.  Deposit/Withdrawal at Custodian (DWAC):** A DWAC typically needs to be done when you are awarded shares from a company and they are pulled from a pool of shares.

You will not have a personal account with the transfer agent in these situations.

Name of transfer agent \_\_\_\_\_

Control/transaction number (if available) \_\_\_\_\_

Titling of your account: \_\_\_\_\_

Stock name \_\_\_\_\_

Stock symbol \_\_\_\_\_

Transfer Instructions (select one)

1.  Transfer \_\_\_\_\_ whole shares. (insert # to be transferred)

Select one transfer option

## 3. Sign and date:

Sign and date

Account holder signature \_\_\_\_\_

Date \_\_\_\_\_

Co-account holder signature \_\_\_\_\_

Date \_\_\_\_\_

## 4. Medallion Signature Guarantee: Only required if transferring from unlike ownership

\*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. This stamp is available from most banks, credit unions and other financial institutions.

Medallion Signature Guarantee Stamp

Medallion Signature Guarantee Stamp

Have Questions? Call 877.653.4732 to speak with a Merrill Edge specialist

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:

**Are Not FDIC Insured**

**Are Not Bank Guaranteed**

**May Lose Value**

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