

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).

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.



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.

Note: Movement of certain low priced securities may be subject to restrictions.

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.
- Make sure a W-9 is on file with the transfer agent
- Make sure the transferring shares are in book entry 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
3315 Central Avenue
Hot Springs, AR 71913
Mailstop 29076

Fax

866.994.7807

For faster service, this form can be completed electronically by signing into your account on merrilledge.com.

Financial Solutions Advisor:

Phone number:

If any of the following scenarios apply:

Provide a copy of the following documentation:

Different last name

Marriage, divorce or legal name change

Individually owned to a jointly owned Merrill account

Driver's license or government-issued ID for all account owners; we may also contact you for additional requirements

Jointly owned account to an individual Merrill account

Please call a Merrill specialist at 877.653.4732

Different Trustees

Updated Trust Agreement

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



Investment products:

Are Not FDIC Insured

Are Not Bank Guaranteed

May Lose Value

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Complete ALL fields

1. Please enter your Merrill 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) Entity name (trust/business/estate)

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

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.

Account holder name (first, middle, last)

Account holder name (first, middle, last)

Social Security number

Social Security number

Name of transfer agent/contra firm

Name of transfer agent/contra firm

Account number (key)

Control/transaction number (if available)

Select one transfer option

Stock name Stock symbol

Stock name (required) Stock symbol (required)

Contra Account type: Non-retirement Retirement

Contra Account type: Non-retirement Retirement

Transfer Instructions (select one)

- Transfer _____ whole shares. (insert # to be transferred)
- Transfer all whole shares, liquidate fractional shares, and close the account.

Transfer Instructions

- Transfer _____ whole shares. (insert # to be transferred)

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

Have Questions? Call 877.653.4732 to speak with a Merrill specialist

*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
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