

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 Document Processing
FL1-908-01-36
4909 Savarese Cir
Tampa, FL 33634

Fax

877.229.7160

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.

Complete
ALL fields

1. Please enter your Merrill account information:

Taxpayer Identification Number
or Social Security number _____

Entity name (trust/business/estate)

ZIP Code

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

Date _____

Medallion Signature Guarantee Stamp