IMPORTANT INFORMATION

- If you have not previously established an Equity Trust Company account to receive your transfer, you must include an account application with this form.
- Each account that is being transferred requires a separate Account Transfer Form.
- For all liquidation requests, contact your current Trustee/Custodian to initiate the liquidation process.
- Contact your current Custodian to inquire if a Medallion Signature Guarantee is required.

1 ACCOUNT HOLDER INFORMATION

ACCOUNT HOLDER NAME	ACCOUNT NUMBER ASSIGNED BY EQUITY TRUST
SOCIAL SECURITY NUMBER	DATE OF BIRTH *(optional)*

2 CURRENT CUSTODIAN INFORMATION

NAME OF COMPANY	ACCOUNT NUMBER	**ESTIMATED TRANSFER VALUE:** $	
STREET ADDRESS*	CITY	STATE	ZIP CODE
PHONE	FAX*		

** Contact your previous custodian to confirm the address where transfer paperwork should be sent and/or if faxed copies are acceptable.*

STOP ATTACH A COPY OF YOUR MOST RECENT STATEMENT FROM YOUR CURRENT CUSTODIAL ACCOUNT

3 ACCOUNT TRANSFER INSTRUCTIONS ONLY

Account Type Being Transferred:

- ☐ Traditional IRA
- ☐ Roth IRA
- ☐ SEP IRA
- ☐ Education (CESA)
- ☐ SIMPLE IRA
- ☐ HSA
- ☐ Qualified Plan [ex. 401(k)]
- ☐ Qualified Plan - Roth [ex. 401(k)]

☐ Check here if this is an inherited Account

To Equity Trust Account Type:

- ☐ Traditional IRA
- ☐ Roth IRA
- ☐ SEP IRA
- ☐ Education (CESA)
- ☐ SIMPLE IRA
- ☐ HSA
- ☐ Qualified Plan [ex. 401(k)]
- ☐ Qualified Plan - Roth [ex. 401(k)]

☐ Check here if this is an inherited Account

4 IN-KIND TRANSFER ONLY

Each account is able to select one depository company for the storage of metals. If metals are stored at multiple facilities available within that depository company, a storage fee will be assessed for each location.

Brink's Inc.

Location:
☐ Los Angeles
120 Venice Blvd
Los Angeles, CA 90015
☐ New York
18445 147th Ave,
Springfield Gardens, NY 11413
☐ Salt Lake City
2179 S 300th W, Ste 4,
Salt Lake City, UT 84115

Delaware Depository

Location:
☐ Delaware
3601N Market St.
Wilmington, DE 19802

International Depository Services (IDS)

Location:
☐ Delaware
406 W Basin Rd
New Castle, DE 19720
☐ Texas
11925 N Stemmons Fwy, Ste 180,
Dallas, TX 75234

5 PROCESSING PREFERENCE *(Choose how you would like this form processed and sent to your current Custodian)*

☐ **OVERNIGHT MAIL SERVICE** ***(See Fee Schedule)***
Your transfer form will be sent overnight

☐ **NORMAL MAIL PROCESSING**

☐ **Send Overnight via Third Party Billing**
☐ FedEx ☐ UPS

THIRD PARTY BILLING ACCOUNT NUMBER
ZIP CODE

6 PAYMENT INFORMATION

Choose a payment method: ☐ Credit Card on File ☐ Deduct Fees from Account ☐ Check Enclosed

INTERNAL USE ONLY

NOTE: By checking credit card on file, you authorize Equity Trust Company to charge your credit card on file for all service-related fees associated with this transaction. To add, change or update a credit card, please visit www.myequity.com. ***If a payment method is not selected, fees will be deducted from the account.***

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Reset Form

EQUITY INSTITUTIONAL®

Equity Trust Account Number ___________________________

7 TRANSFER INSTRUCTIONS FOR CURRENT CUSTODIAN

Type of Transfer:

☐ **Full Transfer** → ☐ Transfer all assets *in-kind* ☐ Liquidate assets and transfer cash

☐ **Partial Transfer** → **Cash Amount (if applicable) $**

LIST ASSETS FOR PARTIAL TRANSFER BELOW	Number of Shares or Value	INSTRUCTIONS (Please check one box per asset)
1.		☐ Liquidate or ☐ In-Kind
2.		☐ Liquidate or ☐ In-Kind
3.		☐ Liquidate or ☐ In-Kind
4.		☐ Liquidate or ☐ In-Kind

☐ **Select if an additional Asset Sheet is provided, Account Holder must sign and date.**

8 INSTRUCTIONS FOR DELIVERY *(Choose how you want your current Custodian to deliver your assets to Equity Trust Company.)*

Funds available immediately upon receipt

☐ **Incoming Wire Transfer**
☐ **Regular Mail/Cashier's Check**
☐ **Overnight Mail/Cashier's Check**

Funds available after 5 business days of receipt

☐ **Regular Mail/Regular Check**
☐ **Overnight Mail/Regular Check**

WIRE TO:
Citibank
451 Montgomery Street
San Francisco, CA 94104
RT # if wire originates in the US: 321171184
For information regarding international wires or ACH instructions please visit: www.equityinstitutional.com/wires

For Credit To:
Equity Trust Company
Westlake, OH 44145
Account #: 205575210

For Further Credit To:
Account Holder Name
Account Number

OVERNIGHT MAIL:
Equity Trust Company
1 Equity Way
Westlake, OH 44145

REGULAR MAIL:
Equity Trust Company
P. O. Box 451165
Westlake, OH 44145

Make Checks Payable to:
Equity Trust Company Custodian
FBO *Account Holder Name, Account #*

IMPORTANT REGISTRATION INFORMATION

Receiving Firm Information:
Equity Trust Company

Register Physical Certificates to:
Equity Trust Company Custodian
FBO *Account Holder Name, Account #*

Mutual Fund Registration:
Equity Trust Company Custodian
FBO *Account Holder Name, Account #*
P. O. Box 451165
Westlake, OH 44145

9 ACCOUNT HOLDER SIGNATURE

- ***A notary public CANNOT provide a Medallion Signature Guarantee.***
- ***A signature guarantee can be obtained from your bank***
- ***If your current custodian does not require a Medallion Signature Guarantee, you can simply sign and date this form.***

I certify that I have established or will establish a Self-Directed Account with the Custodian named below. I agree to the terms of this form. I understand that I am responsible for determining my eligibility for all transfers and I agree to indemnify and to hold the Custodian harmless against any and all situations arising from an ineligible transfer. I acknowledge that the Custodian cannot provide legal advice and I agree to consult with my own tax professional for advice.

Signature of Account Holder	Date

Authorized Officer to Place "Medallion Signature Guarantee" Stamp Here

LETTER OF ACCEPTANCE - FOR OFFICE USE ONLY

Equity Trust Company accepts the appointment as successor custodian on behalf of the depositor and requests the transfer and/or liquidation of assets as instructed above.

Authorized Signature, Equity Trust Company: ______________________________

Date: ______________

Place "Medallion Signature Guarantee" Stamp Here

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The following is a list of documents required when an asset is being transferred. If the original document is not available a copy must be included at the time the ***Account Transfer Form*** is submitted.

Asset Being Transferred*	**Documents Required**
Entity:	
Limited Partnership	Certificate of Limited Partnership filed with the State, Limited Partnership Agreement signed by retirement account holder, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Limited Liability Company	Articles of Organization, Operating Agreement, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Land Trust	Land Trust Agreement
Private Stock/C-Corporation	Articles of Incorporation, By-Laws, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Joint Venture	Joint Venture Agreement
Forex:	Copy of Foreign Currency Application
General:	
Mobile Homes	Mobile Home Title
Land Contract	Land Contract Agreement
Options	Option Agreement, Maturity Date
Annuities	Annuity Agreement
Structured Settlement	Copy of Settlement Agreement (original if available), Original Assignment or Original Contract, Copy of the Court Order transferring (if one exists)
Lease Agreement	Lease Agreement
Oil & Gas Venture	• If not part of a Joint Venture, then only the Agreement • If part of a Joint Venture, the requirements of Joint Venture on Entity DOI
Promissory Note:	
Corporate Debt / Equity (Unsecured Notes)	Certificate of LP filed with the State or Articles of Organization or Articles of Incorporation
Note Secured by Real Property	Copy of the note, recorded Deed of Trust/Mortgage and the assignment of the note and Deed of Trust/Mortgage
Note Secured by Collateral other than Real Property	Copy of the note stating the associated collateral and the assignment of the note and associated collateral
Unsecured Note	Copy of the note and the assignment of the note
Real Estate:	
Real Estate (includes pre foreclosure, subject to's and short sales)	Copy of the recorded deed and the quit claim deed (or other deed) that will transfer ownership of the property
Tax Lien:	Evidence of ownership from the county
*A copy of the Previous Custodian's Statement is required with all assets being transferred.	

DO NOT FAX OR MAIL THIS PAGE

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