



# Account Transfer Form (Non-IRA Accounts)

E\*TRADE Securities, Inc.  
P.O. Box 8160  
Boston, MA 02266-8160

Questions? E-mail us through [www.etrade.com](http://www.etrade.com) or call 1-800-STOCKS-5 (1-800-786-2575) 24 hours a day, 7 days a week.

**Please include a copy of your most recent statement from the delivering firm to process this transfer. Use a separate form for each account/fund you transfer. (Please see the reverse for additional instructions.) If you are transferring an IRA or retirement account, please complete E\*TRADE's Retirement Account Transfer Form.**

<b>A</b>	<b>Information about your account</b>	E*TRADE® Account Number (current customers only) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
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**Important: Registration must be identical to the registration on the account you are transferring. (See back of form for instructions on transferring accounts with different registrations.)**

Account Holder Name (first, middle initial, last)		E-mail Address	
Address		Social Security Number	Home Phone
City	State/Province	ZIP/Postal Code/Country	Business Phone

**Information about the account you are transferring:**

Name of Firm		Account Number	Phone	
Address		City	State/Province	Zip/Postal Code/Country

Type of account you are transferring:

Brokerage                       Trust                                       Investment Club  
 UGMA/UTMA                       Other (non-IRA) \_\_\_\_\_

**B If you are transferring from a brokerage firm, please complete: (Attach additional pages if necessary.)**

You must choose one (if nothing is marked, all assets will be transferred):

Transfer all the assets in my account. (If you check this box, you do not need to complete the remainder of this section.)  
 Transfer only those assets listed below: (Attach additional pages if necessary.)

Quantity	Securities Description	Quantity	Securities Description

**C If you are transferring from a mutual fund company, please complete: (Use a separate form for each fund you transfer.)**

Name of Fund <input style="width:95%;" type="text"/>	<b>For E*TRADE® Use Only:</b> Mutual Fund Reregistration instructions: E*TRADE® FBO (name) _____ Account No. _____ P.O. Box 8160 Boston, MA 02266-8160 Tax ID 77-0116489 Omnibus A/C _____
<p><b>Check One:</b></p> <p> <input type="checkbox"/> Transfer all shares                      <i>(If nothing is marked all assets will be transferred.)</i>  <input type="checkbox"/> Transfer only _____ shares  <input type="checkbox"/> Sell all shares (initial: _____)  <input type="checkbox"/> Sell only \$ _____ (initial: _____)                 </p>	<p><b>Dividends and Capital Gains Instructions:†</b></p> <p> <input type="checkbox"/> Cash  <input type="checkbox"/> Reinvest                 </p> <p>†No selection will default to reinvest.</p>

*Requests to sell positions depend on existing firm receiving and processing the request and may take several weeks to complete.*

**D If you want to redeem a CD, life insurance policy, or annuity, please complete:**

Redeem my CD immediately. I am aware of and acknowledge any penalties I will incur from any early withdrawal (initial: \_\_\_\_\_).  
 Redeem my CD at maturity. Maturity date \_\_\_\_/\_\_\_\_/\_\_\_\_ (initial: \_\_\_\_\_). (Submit request at least 14 days prior to maturity. Please advise your bank not to roll it over to a new term.)

I have a life insurance policy that I wish to transfer. Please redeem and terminate the policy on my behalf (initial: \_\_\_\_\_). (Your insurance company may require that you complete additional forms.) This is not a 1035 exchange.  
 I have an annuity that I wish to transfer. Please redeem and terminate the contract on my behalf (initial: \_\_\_\_\_). (Your insurance company may require that you complete additional forms.) This is not a 1035 exchange.

*Requests to sell positions depend on existing firm receiving and processing the request and may take several weeks to complete.*

**E Please read carefully and sign this section. (Include a copy of your most recent statement from the delivering firm to expedite this transfer.)**

**To delivering firm:** Transfer assets in my account to E\*TRADE as indicated. I understand that if assets in my account are not readily transferable with or without penalties, such assets may not be transferred within the time frames required by NYSE Rule 412 or similar rule of the NASD or other designated examining authority.

**Unless otherwise indicated, I authorize you to liquidate nontransferable proprietary money market fund assets, deduct any outstanding fees due you, and transfer the resulting credit balance to E\*TRADE.** I authorize you to liquidate assets in my account as necessary to satisfy outstanding fees due you. I instruct you to transfer certificates or other instruments in my account in good deliverable form, including affixing any necessary tax waivers, to enable E\*TRADE to transfer them in its name for the purpose of sale, when and as directed by me. I understand that upon receiving a copy of this transfer instruction, you will cancel all open orders for my account on your books.

I affirm that I have returned to you credit/debit cards and/or unused checks issued to me, if any, in connection with the account I am transferring.  
I understand that you will contact me with respect to the disposition of any assets in my securities account that are nontransferable.

<input style="width:90%; height: 20px;" type="text" value="X"/> SIGNATURE OF ACCOUNT HOLDER                      DATE	<input style="width:90%; height: 20px;" type="text" value="X"/> SIGNATURE OF CO-ACCOUNT HOLDER                      DATE
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## To the Investor: Instructions for Transferring Your Account

To transfer your account to E\*TRADE® from another brokerage firm, mutual fund company, bank, or life insurance company, simply:

- Complete and sign the Account Transfer Form.
- Attach a copy of your most recent statement from the delivering firm.
- If this is a new account, complete an E\*TRADE® Account Application.
- Send all paperwork to E\*TRADE® Securities Inc., Transfer of Account Dept., P.O. Box 8160, Boston, MA 02266-8160.

*Note:* Most full account transfers take from three to six weeks, depending on the processing time of the delivering firm. If you are opening a new account and would like to begin using your E\*TRADE® account right away, please include an initial deposit (\$1,000 minimum for cash accounts; \$2,000 minimum for margin accounts) with your application.

### Additional Requirements:

**If you are transferring from a joint account to an individual account**, both joint account holders must sign the Account Transfer Form. Additionally, the delivering firm requires a notarized letter of authorization signed by both joint account holders, authorizing the transfer.

**If you are transferring from an individual account to a joint account**, both joint account holders must sign the Account Transfer Form. Additionally, the delivering firm requires a letter of authorization from the individual account holder.

**If you are transferring from an account that is not identically registered to the E\*TRADE® account**, the delivering firm requires a notarized letter of authorization.

If you have any questions, please contact E\*TRADE® through [www.etrade.com](http://www.etrade.com) or call 1-800-STOCKS-5 (1-800-786-2575).

## Delivery Instructions

<b>Name and Address:</b>	E*TRADE Securities, Inc. P.O. Box 8160 Boston, MA 02266-8160	Tax ID number: 77-0116489
<b>All DTC-Eligible Securities:</b>	Deliver to DTC Clearing 0385, Code 40	
<b>Checks:</b>	E*TRADE Securities, Inc. Attn: Cashiering Department P.O. Box 8160 Boston, MA 02266-8160	
<b>Dividend Reinvestment:</b>	Issue a certificate for all whole shares, liquidate all fractional shares, and discontinue dividend reinvestment	
<b>Physical Delivery of Securities:</b>	E*TRADE Securities, Inc. P.O. Box 8160 Boston, MA 02266-8160	
<b>Book-Entry GNMA Securities:</b>	BK NYC/ETG/ETRADE SECURITIES	
<b>Fed-Entry Securities:</b> (e.g., Treasury notes)	021000018 BK OF NYC/ETRADE	
<b>Fed-Wired Monies:</b>	The Bank of New York ABA #021000018 FBO: E*TRADE Securities, Inc. AC #8900346256 For further credit to: <i>[customer name and E*TRADE account number]</i>	
<b>Options Delivery Instructions:</b>	Options Clearing Corp. 0385	

**All deliveries must include account holder name and E\*TRADE® account number.**