



UBS Financial Services Inc.

Account Number \_\_\_\_\_

Account Type:  Domestic  International

# Account Transfer



### About the Account You Are Transferring

Please refer to your statement for the following information and **attach a complete copy of your most recent statement for this account.** Please complete a separate form for each account you transfer (photocopies are acceptable).

Name(s) and Title of Account on your statement \_\_\_\_\_

Name of Firm/Fund Company \_\_\_\_\_

Street Address of Firm/Fund Company \_\_\_\_\_

			United States of America
City	State/Province	Zip/Postal Code	Country

SS#/TIN	2nd SS#/TIN	Broker Clearing #	Your Account Number
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**About Your UBS Financial Services Inc. Account:** the account is transferring into  
Account Title \_\_\_\_\_

### For Retirement Accounts Only—transfer into a:

- |  |   |  |                                   |   |
|--|---|--|-----------------------------------|---|
| <input type="checkbox"/> Traditional IRA | <input type="checkbox"/> Traditional IRA Rollover | <input type="checkbox"/> SEP IRA                             | <input type="checkbox"/> Roth IRA | <input type="checkbox"/> Qualified Plan |
| <input type="checkbox"/> SIMPLE IRA      | <input type="checkbox"/> CODA SEP-IRA             | <input type="checkbox"/> Coverdell Education Savings Account |                                   |   |

### From a Qualified Retirement Plan transfer by means of a direct rollover into a\*:

- |  |                                  |                                       |                                       |
|--|----------------------------------|---------------------------------------|---------------------------------------|
| <input type="checkbox"/> Traditional IRA | <input type="checkbox"/> SEP IRA | <input type="checkbox"/> Rollover IRA | <input type="checkbox"/> CODA SEP IRA |
|--|----------------------------------|---------------------------------------|---------------------------------------|

\*Based on IRS Regulations, qualified retirement plan assets cannot be rolled over to a SIMPLE IRA.

### Type of Transfer You Are Making

 Please answer the following questions

Indicate the number of shares of each asset you wish to transfer or write "all". Some assets are not transferrable. If the asset is not transferable, UBS Financial Services, Inc. may be named broker-dealer and/or custodian at the company, or the assets can be sold. Requests to sell positions are dependent upon the delivering firm receiving and processing the request and may take several weeks to complete. Liquidations can also be processed by calling the delivering firm.

**Do you wish to transfer your entire account?**  Yes  No

If you answered "yes," skip to the next question. If you answered "no," and the transfer is not coming directly from an insurance or mutual fund company, please provide the following information for the assets you intend to transfer.

Description of Asset	Quantity	Description of Asset	Quantity
_____	_____	_____	_____

**Are you transferring directly from an insurance or mutual fund company?**  Yes  No

If you answered "no," skip to the next question. If you answered "yes," please provide the following information for each annuity or mutual fund you intend to transfer.

Name of Fund/Annuity	Account Number	Quantity (indicate # of shares or "All")
_____	_____	_____

**UBS Financial Services Inc. Branch Use Only** - For in-kind transfer of directly held mutual funds, establish a BIN number and reference here: 0\_\_\_\_ 00 To request a BIN number, open a Star Case to Mutual Funds, Create BIN/B50.

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Initiate the transfer of a maturing Certificate of Deposit (CD) no more than two weeks prior to the maturity date. Otherwise, you may incur early withdrawal penalties.

Are you transferring directly from a Bank, Savings and Loan or Credit Union?  Yes  No

If you answered "no," skip to the next question. If you answered "yes," please complete the following section.

I am only transferring cash. Please transfer:  All cash in account  Only \$ \_\_\_\_\_

I have a CD that I want to transfer. Please:

Liquidate it IMMEDIATELY. I am aware of and acknowledge the penalty I will incur from any early withdrawal.

Liquidate it AT MATURITY. Maturity date (Please submit 2 weeks before maturity date) \_\_\_\_\_

Do you wish to liquidate any assets as part of this transfer?  Yes  No

If you wish to liquidate any assets prior to this transfer, please supply the branch operations manager at your previous firm with verbal instructions and advise your Financial Advisor at UBS Financial Services of this liquidation request.

**Client Instruction**


Please transfer the assets specified to UBS Financial Services Inc., which has been authorized by me to make payment to you of the debit balance or to receive payment of the credit balance in my securities account. I understand that to the extent any assets in my securities account are not readily transferable, with or without penalties, such assets may not be transferred within the time frame required by FINRA rule 11870 or other designated examining authority.

Unless otherwise indicated in the instruction contained herein, I authorize you to liquidate any proprietary money market fund assets that are part of my securities account and transfer the resulting credit balance to UBS Financial Services Inc. I understand that you and/or UBS Financial Services Inc. will contact me with respect to the disposition of any other assets in my securities account that are either non-transferable or non-deliverable. If certificates or other instruments in my securities account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable UBS Financial Services Inc. to transfer them in its name for the purpose of sale, when and as directed by me. I further instruct you to cancel all open orders for my securities account on your books if this is a full transfer as noted on this form.

I affirm that I have destroyed or returned to you any credit/debit cards and unused checks given to me in connection with my securities account if this is a full transfer as noted on this form.

**Delivering Agent:** Please refer to the attached page for delivery instructions.


Account Owner/Additional Party:

 \_\_\_\_\_  
First Name Last Name Signature Date

**Authorization** (UBS Financial Services Inc. completes).

To the prior trustee or custodian: Please be advised that UBS Financial Services Inc. will accept the above-captioned account as successor custodian.

Successor Custodian/Trustee:

 \_\_\_\_\_  
First Name Last Name Signature Date

**For Internal Branch Use Only**

**Liquidations**

- 1. Check with the client to determine if any assets require liquidation.
- 2. If liquidations are requested, ask the client to contact the branch operations manager at previous firm with verbal instructions. Verbal instructions will result in fewer delays in the transfer process. PLEASE DO NOT SEND LIQUIDATION INSTRUCTIONS TO THE ACCOUNT TRANSFER DEPT. Always follow up the next day to ensure execution of liquidation request.

**ACAT versus Non-ACAT**—The transfer is an ACAT transfer if both of the following conditions are met: Either part of or the entire account is to be transferred and the delivering firm is ACAT-eligible.

Account is transferring via:  ACAT  Non-ACAT. If ACAT or Non-ACAT, the branch should process the transfer and retain the paperwork.

**All Account Transfer procedures are available on BGAP.**

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