BNY | INVESTMENTS

TRANSFER FORM

BNY Brokerage Services P.O. Box 958408 Lake Mary, FL 32795

1. General Information

Use this form to transfer assets from other firms to your BNY Brokerage Account. The account registrations on both accounts must be the same. Use one form for each transfer. Do not use this form to transfer assets between retirement and non-retirement accounts.

*If you have any questions, please call a BNY Brokerage Account Representative at **1-800-843-5466**.*

Name/Title as registered on your account

Primary Owner Social Security Number/Tax I.D. Number *Date of Birth*

Joint Owner Social Security Number/Tax I.D. Number *Date of Birth*

BNY Brokerage Account number (if new account, leave blank) *Phone Number*

For Internal Use Only

Delivering Firm Clearing Number: _____ Receiving Firm Clearing Number: **0443**

❑ Check here for broker/dealer change only

❑ ACAT ❑ NON-ACAT ❑ INTERNAL ❑ DRS

I would like to transfer from:

Name of Institution (Brokerage Firm, Mutual Fund Company or Bank) *My Account Number/IRA Plan Account Number*

Address of Institution

Please attach a complete copy of the last statement you received for the account which you are transferring. We will not be able to process the transfer without a copy of the most recent statement.

2. Account Type

❑ Single ❑ Joint ❑ Corporate ❑ Estate ❑ Custodian (UTMA/UGMA) ❑ Trust ❑ Other

Retirement: ❑ Traditional IRA ❑ Rollover IRA ❑ SEP-IRA
❑ Roth IRA ❑ Spousal IRA

3. Assets to be transferred

If you need additional space, please attach a separate sheet of paper.

Full transfers between ACAT-eligible firms may only be transferred in kind.

All transfer requests for BNY Mellon Family of Funds will be submitted within 1 to 2 business days.

**Please contact delivering firm to execute any liquidations prior to transfer.*

Non-U.S. positions being transferred into your account will be held in U.S. dollars unless your financial firm instructs Pershing to hold the non-U.S. positions in their original currency.

If you are transferring securities or mutual funds:

❑ I would like to transfer my entire account to BNY Brokerage Account.

❑ I would like to transfer the following assets from my account.

DRS/DRIP

❑ FULL (Check one below)

❑ SELL FRACTIONAL SHARES AND CLOSE ACCOUNT

❑ TRANSFER ALL FULL SHARES ONLY

❑ PARTIAL (List assets below)

NOTE: For transfer agents, electronically send positions or issue a certificate for whole shares and redeem fractional shares.

DESCRIPTION OF ASSETS AND CUSIP # OR MUTUAL FUND NAME	ACCOUNT NUMBER	INDICATE NUMBER OF SHARES OR DOLLAR AMOUNT OR "ALL"	SELL AND TRANSFER CASH*	TRANSFER IN KIND	MUTUAL FUNDS (please check one if you are transferring in kind) DIVIDENDS REINVEST	DIVIDENDS CASH	CAPITAL GAINS REINVEST	CAPITAL GAINS CASH
			❑	❑	❑	❑	❑	❑
			❑	❑	❑	❑	❑	❑
			❑	❑	❑	❑	❑	❑
			❑	❑	❑	❑	❑	❑

If you are transferring cash or an IRA CD:

A. I am transferring cash. Please transfer ❑ All cash in my account ❑ This amount: $_____

B. I have an IRA CD and want to transfer the proceeds.
❑ Please liquidate my IRA CD immediately. I am aware that I may incur a penalty for early withdrawal.
❑ Please liquidate my IRA CD when it matures on: _____ and transfer the proceeds.
Month/Day/Year

4. Please read this section and sign below

For Federal Wire Instruction please contact a BNY Brokerage Account Representative at 1-800-843-5466.

To the Delivering Firm – Unless otherwise indicated in the instructions above, please transfer all assets in my account to Pershing, LLC, a subsidiary of The Bank of New York Mellon Corporation, without penalties; such assets may not be transferred within the timeframes required by Financial Industry Regulatory Authority (FINRA) Rule 11870, or similar rule of FINRA or other designated examining authority.

Unless otherwise indicated in the instructions above, I authorize you to liquidate any non-transferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the successor custodian. I authorize you to deduct any outstanding fees due to you from the credit balance in my account. If my account does not contain a credit balance or if the credit balance in the account is insufficient to satisfy any outstanding fees due to you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy that obligation. If certificates or other instruments in my account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers to enable the successor custodian 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 destroyed or returned to you credit/debit cards and/or unused checks issued to me in connection with my securities account. I understand that you will contact me with respect to the disposition of any assets in my securities account that are nontransferable.

If rolling over assets from an employer-sponsored retirement plan, I acknowledge that neither BNYSC, The Bank of New York Mellon nor any of their affiliates or representatives provided any investment advice or recommendations in connection with my rollover decision.

Account Holder	*Date*	*Joint Account Holder, corporate officer, partner, trustee (if any)*	*Date*

5. Special Instructions for transferring retirement assets

By completing this form, I authorize a direct transfer of my retirement assets from my current trustee/custodian to The Bank of New York Mellon. In the case of retirement accounts, references on this form to BNY Brokerage Services will mean "The Bank of New York Mellon." You may not transfer or roll over required minimum distribution amounts. If necessary, instruct your current Custodian prior to effecting this transfer to either pay your required minimum distribution to you now or retain that amount for distribution to you later.

If this account is a qualified or other retirement account transfer, I have adopted the applicable plan and named The Bank of New York Mellon as successor custodian. (FOR IRAs ONLY: If the assets I am transferring are considered nonstandard assets at BNY Brokerage Services, such as limited partnerships, I realize I may be charged setup and/or maintenance fees.)

To the prior trustee/custodian: please be advised that The Bank of New York Mellon does hereby accept appointment as successor custodian.

FOR INTERNAL USE ONLY *The Bank of New York Mellon Signature*	*Date*

Please mail this completed form to:

BNY Brokerage Services
PO Box 958408
Lake Mary, FL 32795

For registered, certified or overnight mail, please mail to:

BNY Brokerage Services
600 Colonial Center Parkway
Suite 400
Lake Mary, FL 32746

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