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 Pittsburgh, PA 15222  
 Expedition Trust Company  
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 Pierre, SD 57501  
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 www.macg.com

# Transfer of Assets

Use this form to authorize the transfer of mutual funds and/or cash, currently held at another firm, to your account with Mid Atlantic Trust Company (MATC).

- ✓ Attach all pages of a recent account statement.
- ✓ Use one form for each account you're transferring.
- ✓ Transfers can create legal issues (especially around beneficiaries and form of ownership) as well as tax issues and financial risks. Consult the appropriate professionals before making a transfer.

Do NOT use this form to:

- Transfer anything other than mutual funds and/or cash.
- Convert an IRA to a Roth IRA.
- Roll over from a 401(k), 403(b) or other workplace plan.
- Transfer from a non-retirement checking account.
- Transfer from one account to another at MATC.

## ACCOUNT INFORMATION

List ALL names EXACTLY as they appear on the accounts. All account owners of this account must sign the form in *Signature section*.

| Receiving Account Information              |
|--|
| Account Number                             |
|  |
| Account Owner/Trust/Entity Name            |
|  |
| Social Security Number/Taxpayer ID Number  |
|  |
| Additional Account Owner/Trust/Entity Name |
|  |
| Social Security Number/Taxpayer ID Number  |
|  |

| Account Being Transferred          |            |                   |
|------------------------------------|------------|-------------------|
| Account Number                     | DTC Number |                   |
|                                    |            |                   |
| Account Owner/Trust/Entity Name(s) |            |                   |
|                                    |            |                   |
| Delivering Firm Name               |            |                   |
|                                    |            |                   |
| Address                            |            | Firm Phone Number |
|                                    |            |                   |
| City                               | State      | Zip Code          |
|                                    |            |                   |

| Receiving Account Type: Check the appropriate box. |                             |
|--|-----------------------------|
| Non-Retirement Accounts                            | Retirement Accounts         |
| Individual   | Traditional or Rollover IRA |
| Joint  | Roth IRA                    |
| Trust  | SIMPLE IRA                  |
| Corp/Business                                      | IRA BDA                     |
| UGMA/UTMA  | Roth IRA BDA                |
| Estate   | SEP IRA                     |
| Other:   | Other:                      |

| Delivering Account Type: Check the appropriate box. |                             |
|---|-----------------------------|
| Non-Retirement Accounts                             | Retirement Accounts         |
| Individual  | Traditional or Rollover IRA |
| Joint   | Roth IRA                    |
| Trust   | SIMPLE IRA                  |
| Corp/Business                                       | IRA BDA                     |
| UGMA/UTMA   | Roth IRA BDA                |
| Estate  | SEP IRA                     |
| Other:  | Other:                      |

## TRANSFER INSTRUCTIONS

If you do not instruct us otherwise, we will default to transfer in kind all eligible mutual fund positions in the account. Money market mutual funds may be liquidated. MATC is NOT responsible for market fluctuation on requests with written liquidation instructions. Complete a separate Additional Assets Schedule if you need to list more mutual funds.

**BROKERAGE OR TRUST COMPANY TRANSFER**

These type of transfers are in-kind; liquidate mutual funds at current firm prior to submitting this form if you wish to have account transferred in cash. For Annuities, complete section for Annuity Transfer (below).

Transfer the entire account. Skip to Signature section.

Transfer only part of my account In-Kind, detailed below:

| Security ID # or Symbol | # of Shares or 'All' |
|-------------------------|----------------------|
|                         |                      |
|                         |                      |
|                         |                      |
|                         |                      |

**MUTUAL FUND COMPANY TRANSFER**

Provide all fund account numbers if they are different than the account number provided in Section 2. Certain proprietary mutual funds may not be eligible for in-kind transfers and must be liquidated.

| Security ID # or Symbol | # of Shares or 'All' | Choose one:       |
|-------------------------|----------------------|-------------------|
|                         |                      | In-Kind Liquidate |
|                         |                      | In-Kind Liquidate |
|                         |                      | In-Kind Liquidate |
|                         |                      | In-Kind Liquidate |
|                         |                      | In-Kind Liquidate |

**ANNUITY TRANSFER**

All annuities must be surrendered (cash in), which could mean tax implications, penalties, fees, and loss of product features. Contact the annuity company for additional requirements before you submit this form.

Full Annuity Surrender (Transfer the entire cash immediately).

Partial Annuity Surrender – Transfer cash amount:

\$ \_\_\_\_\_

Partial Annuity Surrender – Transfer ONLY penalty-free portion: \$ \_\_\_\_\_

**BANK TRANSFER (ONLY ONE CD PER TOA FORM)**

CD Description: \_\_\_\_\_

Liquidate CD immediately and send cash (You may be charged a penalty for early withdrawal).

Liquidate CD at maturity and send cash. CD Maturity Date: \_\_\_\_\_ (This request must be submitted at least 21 days before maturity, and no more than 60 days before maturity).

**AUTHORIZATION AND SIGNATURES**

All owners of BOTH accounts must sign and date. If an owner's name appears differently on different accounts, that owner must sign both ways. By signing below you instruct MATC and the Delivering Firm to act on all instructions given on this form and you acknowledge and agree that:

- 1) The delivering firm ("Delivering Firm") will transfer the assets in your account in accordance with your transfer instructions above to MATC as successor Custodian.
- 2) Affirm that you are aware of any tax or financial implications that may arise in connection with this transfer or with the sale or liquidation of any assets prior to transfer, including penalties, fees, financial losses, or losses of product features or benefits.
- 3) Any assets not readily transferable might not be transferred within the time frames set by FINRA or other applicable authorities.
- 4) You authorize the Delivering Firm to sell any non-transferable money fund shares, and any shares of other mutual funds that you have requested be sold, and transfer the proceeds as cash.
- 5) You authorize the Delivering Firm to contact you about any assets that cannot be transferred.
- 6) You authorize the Delivering Firm to deduct from your account any fees that you owe, and, if necessary, to sell assets in your account to pay those fees.
- 7) You authorize the Delivering Firm to cancel any open orders on your account when it receives this form.
- 8) You have destroyed or returned any credit/debit cards and unused checks associated with your account at the Delivering Firm, if closing that account.

**Retirement Accounts**

- 1) If you are 70½ or older, this transfer will not violate IRS rules on required minimum distributions.
- 2) If you are transferring a Roth IRA, it is your responsibility to track the Five-Year Aging Date.
- 3) If you are requesting to transfer a traditional IRA or rollover IRA that may differ from the receiving IRA you maintain at MATC, you hereby authorize MATC to combine your IRA assets and you acknowledge this could limit your options for reinvesting your rollover IRA assets in an employer-sponsored plan in the future.
- 4) If you are transferring to a MATC Inherited IRA Account, you accept full responsibility for complying with all inherited IRA transfer requirements.
- 5) If you are transferring a SIMPLE IRA, you accept that the Date of First Participation will be the date that contributions are first deposited to your MATC SIMPLE IRA by your employer, unless you provide a Date of First Participation.

|                         |       |                               |  |
|-------------------------|-------|-------------------------------|--|
| Account Owner Name      |       | Medallion Signature Guarantee |  |
| Account Owner Signature | Date: |                               |  |
|                         |       |                               |  |
| Account Owner Name      |       | Medallion Signature Guarantee |  |
| Account Owner Signature | Date: |                               |  |
|                         |       |                               |  |

|   |           |      |        |
|---|-----------|------|--------|
| For Custodian Use Only: Letter of Acceptance  |           | MATC | Other: |
| Accepts appointment as successor custodian for the retirement account referenced herein. Transfer the account as instructed on this form, on a trustee-to-trustee basis, to the appropriate successor custodian/MATC. |           |      |        |
| Successor/Custodian Representative Name   | Signature | Date |        |
|   |           |      |        |