

APEX CLEARING CORPORATION CUSTOMER ACCOUNT TRANSFER FORM

Receiving Firm – Apex Clearing Corporation (“Apex Clearing”) – Clearing #0158

1. Information about your account:

Title of Your Account:	
Apex Clearing Account Number:	SSN / Tax ID:

**** Please attach a copy of your most recent statement for the account you are transferring to Apex.**

2. Information about the account you are transferring:

Title of Your Account:	
Account Number:	Name of Firm:
Address of Firm:	
City, State, ZIP	Broker Clearing No:

**** If your ApexClearing account is not the same type of account as the one you are transferring, you must complete the Letter of Authorization (Section 7) on the 2nd page of this form.**

3. Type of Transfer:

- | | |
|--|---|
| <input type="checkbox"/> Brokerage Firm Transfer (Transfer all assets in kind) | <input type="checkbox"/> Non-ACAT Transfer (Transfer all assets in kind) |
| <input type="checkbox"/> Liquidate all assets and Transfer as cash | <input type="checkbox"/> Liquidate annuity and transfer as cash |
| <input type="checkbox"/> Partial Transfer (Skip to Section 4) | <input type="checkbox"/> Liquidate Certificates of Deposit IMMEDIATELY.
(I am aware of and acknowledge the penalty for early withdrawal) |
| <input type="checkbox"/> Mutual Fund Company Transfer (Skip to Section 5) | <input type="checkbox"/> Transfer proceeds of Certificates of Deposit AT MATURITY (Submit transfer request 30 days prior to maturity). |

4. Partial Transfer: (Please specify the assets you wish to transfer, Attach additional pages if needed)

Quantity	Assets Description / Symbol	Transfer (Select One)
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate

5. Mutual Fund Company Transfer: (Use a separate form for each mutual fund company)

Name of Fund Company:				
Name of Fund/Symbol/Cusip	Fund Account #	Transfer (Select One)	Future Dividend (Select One)	Future Capital Gains (Select One)
		<input type="checkbox"/> ALL <input type="checkbox"/> # of Shares _____	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash
		<input type="checkbox"/> ALL <input type="checkbox"/> # of Shares _____	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash
		<input type="checkbox"/> ALL <input type="checkbox"/> # of Shares _____	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash

6. Signature(s): (Please read and sign below)

If this account is a qualified retirement account, I have amended the applicable plan so that it names Apex Clearing Corporation (“Apex Clearing”) as successor custodian. Unless otherwise indicated in the instructions above, please transfer all assets in my account to Apex Clearing. I understand that to the extent any 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 FINRA or other designated examining authority.

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 Apex Clearing. I authorize you to deduct any outstanding fees due 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 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 into 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 non-transferable.

Primary Signature:	Date:	
Secondary Signature:	Date:	
		Medallion Signature Guarantee Program

Letter of Acceptance – To the prior custodian/Trustee: Please be advised that Apex Clearing Corporation ("Apex Clearing ") hereby accepts an appointment as successor custodian.

Successor Custodian/Trustee Authorized Signature:	Date:
Tax ID Number Successor Custodian:	Date of Trust:

7. Letter of Authorization: (Please complete if the type of account in Section 1 is different than Section 2.)

To: Apex Clearing Corporation: I hereby authorize the following transfer of assets:

Transfer From:

Delivering
Account
Account

Firm:
Number:
Title:

Transfer To:

Apex Clearing Account Number: _____

Account Title: _____

Investment Representative's Name _____ Office # _____ Rep # _____

I understand this transfer constitutes a change in ownership of the assets and that the new registered account holders will have exclusive rights to the assets.

Sincerely,

X _____ **X** _____
Primary Applicant Signature Secondary Application Signature

***Completion of this form does not guarantee acceptance by delivering Firm.

For Broker Use Only – Transfer Instructions:

REGULAR MAILING INSTRUCTIONS:

Apex Clearing Corporation c/o Broadridge
Attn: Imaging & Workflow Solutions
P.O. Box 1348
Brentwood, NY 11717-4627

OVERNIGHT MAILING INSTRUCTIONS:

Apex Clearing Corporation c/o Broadridge
Attn: Imaging & Workflow Solutions
51 Mercedes Way
Edgewood, NY 11717

DTCI INSTRUCTIONS:

#0158 Apex Clearing
FAO: Customer Acct #
(Apex accepts PTD's and PTR's)

PHYSICAL INSTRUCTIONS:

Depository Trust Company
Central Delivery Window
570 Washington Blvd, 1st Fl
Jersey City, NJ 07310

FOREIGN SECURITIES INSTRUCTIONS:

Euroclear: #10403
Reference: Apex Clearing

GNMA INSTRUCTIONS:

ABA: 021000018/QUICK

TAX ID# :

13-2967453

NSCCI INSTRUCTIONS:

NSCC# 0158 Apex Clearing

FNMA/ FREDDIE'S/ USTREAS

INSTRUCTIONS:

ABA 021000018
Bank of New York/QUICK

AGENT ID/ INSTI TUTI ONAL:

89331

CREST SECURITIES:

Apex Clearing Corporation
Crest ID 82XHJ

ALTERNATIVE INVESTMENTS

RE-REGISTRATION:

Apex Clearing Corp. c/o Broadridge
Attn: Alternative Investments Dept.
2 Journal Square, 3rd Floor
Jersey City, NJ 07306

INCOMING WIRE INSTRUCTIONS:

BMO Harris Bank
111 W Monroe St
Chicago, IL 60603
ABA:071000288
SWIFT: HATRUS44
Apex Clearing
Acct 3713286
FFC: Customer Name and BPS A/C #

MUTUAL FUND RE-REGISTRATION:

Apex Clearing Corp.
c/o Broadridge Outsourcing Solutions
FBO: _____
Attn: Account Transfer Dept.
2 Journal Square, 3rd Floor
Jersey City, NJ 07306

CHECKS: (regular mail or overnight delivery)

Apex Clearing Corp.
c/o Broadridge Outsourcing Solutions
Attn: Cash Management Dept.
2 Journal Square, 3rd Floor
Jersey City, NJ 07306