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Carrying Firm's
Clearing No.

Carrying Firm's
Account No.

Account
Title

Carrying Firm's
Name

Carrying Firm's
Street Address

City

State

Zip

Social Security or Tax I.D. Number
(as shown on Carrying Firm's Client Statement)

Tax I.D. Number
of Prior Trustee

U.S. Federal law requires us to obtain, verify and record information that identifies each person or entity that opens an account. What this means for you is that when you open an account, we will ask for your name, a street address, date of birth, and an identification number. such as a Social Security No. or other identification number, that Federal law requires us to obtain. We may also ask to see a driver's license, corporate formation document (for corporate entities), or other identifying documents that will allow us to identify you or the corporate entity seeking to open an account. We appreciate your cooperation.

DELIVERING AGENT PLEASE NOTE: Complete delivery instructions and fed wire instructions are on the reverse side of this form.

☐ **BROKERAGE ACCOUNT TRANSFER**

Check one:

☐ **Transfer my ENTIRE account.**
(Please go directly to Signature area.)

☐ **Transfer only the assets listed here.**
(This section is used for partial transfers. If necessary, please attach sheet listing additional assets.)

Qty	Description	Liq.	Re-Reg.

Qty	Description	Liq.	Re-Reg.

☐ **BANK ACCOUNT TRANSFER**

Check one:

☐ **Liquidate ALL assets.**

☐ **Liquidate Certificates of Deposit IMMEDIATELY.** I am aware of and acknowledge the penalty I will incur from an early withdrawal.

☐ **Forward proceeds of Certificates of Deposit AT MATURITY.** (Please submit 2 - 3 weeks before maturity.)

See reverse side for mailing instructions.

☐ **MUTUAL FUND TRANSFER**

Check one:

☐ **Redeem ALL shares and transfer cash.**

☐ **Re-register my Mutual Fund to Citigroup Global Markets Inc. as custodian.**

Rep. Name

Rep. Phone

Certain mutual funds or variable insurance products may not be transferable because, for example, they may be non-portable proprietary products. In these situations, you have the option to continue to hold the investments at your prior firm.

☐ **LIMITED PARTNERSHIP TRANSFER**

(For CGMI IRA Custodian Accounts only.)

☐ **Re-register my Limited Partnership investment to Citigroup Global Markets Inc. as custodian.** (See reverse side for mailing instructions.)

TO THE CARRYING FIRM NAMED ABOVE: If this account is a qualified retirement account, I have amended my retirement plan and have adopted a new retirement plan with Citigroup Global Markets Inc. as successor custodian. Pursuant to the said amendment, please transfer all assets in my account to Citigroup Global Markets Inc. as successor custodian. 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 New York Stock Exchange Rule 412 or similar rule of the National Association of Securities Dealers or other designated examining authority.

I understand that the carrying organization named above and/or Smith Barney will contact me with respect to the disposition of any assets in my account that are nontransferable, and authorize the deduction of any outstanding fees due from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance is insufficient to satisfy any outstanding fees due, the carrying organization named above is authorized to liquidate the assets in my account to the extent necessary to satisfy any outstanding fees due. If certificates or other instruments in my account are in the physical possession of the carrying organization, they are to be transferred in good deliverable form, including affixing any tax waivers, to enable the successor custodian to transfer them in its name for the purpose of sale, when and as directed by me. Upon receiving a copy of this transfer instruction, the carrying organization will cancel all open orders for my account on its books.

Unless otherwise indicated in the instruction above, I authorize you to liquidate any nontransferable money market fund assets that are part of my account and transfer the resulting credit balance to Citigroup Global Markets Inc. as successor custodian. I understand that if I choose a method of disposition of such assets other than liquidation and transfer, I may become liable for the payment of taxes and penalties with respect to such assets.

Disposition of money markets other than liquidation and transfer:

Client's
Signature

Date

Smith Barney
Authorized Signature

Date

Joint Account Owner's Signature
(ALL Joint account owners must sign)

Date

Smith Barney
Contact Person

Telephone
Number

To the prior trustee: If this is a retirement plan, please be advised that Citigroup Global Markets Inc. will accept the above account as successor custodian.

The New Account Name will be:
Citigroup Global Markets Inc. Custodian for

Signature
Guaranteed
by:

Citigroup Global Markets Inc. Tax I.D. Number: 13-2919773

Smith Barney is a division of Citigroup Global Markets Inc.

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For Smith Barney use

ACCOUNT TRANSFER CHECKLIST

1. Check the AS01 screen to determine if the contra firm is ACATS-eligible.
2. Please verify that this form includes:
 - Smith Barney account number
 - the **delivering firm's** name, address and account number(s) (brokerage and mutual fund numbers, as applicable)
 - the proper **account title** (title **must match** the contra firm, Smith Barney and client statement account title)
 - the client's **signature** and **Social Security** or Taxpayer I.D. Number
 - a **Signature Guarantee**
 - a copy of the client's last **statement** dated within the past 3 months
 - all required **legal documents** (e.g., corporate resolution, letters testamentary, etc.)
 - **Mutual Fund instructions**, if applicable
 - **Retirement account type** checked (IRA or Qualified)
3. Use a separate form for each account transfer and also verify that all copies of this form are legible and the signatures visible on all copies.
4. For **Cash Only** transfers, please place local branch address label over the "Forward Checks To" (#7) Delivery Instructions below.
5. Do NOT submit liquidations on ACATS. Mail this form directly to contra firm.
6. **Partial Transfers, Cash Only, Liquidations** and **Change of Broker/Dealer** must be handled at the branch level.
7. For status on ACAT transfers, check the BCAT and AXON screens. Address any questions to your Operations Manager.

This form consolidates the Change of Broker Dealer (2222A), the Retail Account Transfer (600A), the Retirement Account Transfer (4058) and Letter of Intent forms.

Delivery Instructions for Non-ACATS Participants *All deliveries MUST INCLUDE client name and Smith Barney account number.*

1.	All DTC-eligible securities	Deliver to:	DTC Clearing #0418
2.	All physical delivery of securities	Deliver to:	Citigroup Global Markets Inc. 333 West 34th St. - 3rd Floor New York, NY 10001
3.	PTC-eligible securities (e.g., GNMA securities)	Book to:	PTC Contra-ID: SMBAR
4.	Fed Book Entry-eligible securities (e.g., Treasury Notes)	Book to:	BK of NYC/SBSRTL ABA 021 000 018
5.	Limited Partnership re-registration forms	Send to:	Citigroup Global Markets Inc. Limited Partnerships 11155 Red Run Blvd Owings Mills, MD 21117
6.	Fed wired monies	Wire to:	CITIBANK N.A. ABA 021 000 089 FBO CITIGROUP GLOBAL MARKETS INC. A/C 306-04518 FOR FURTHER CREDIT TO (Smith Barney Account No.) (Smith Barney Account Name)
7.	Checks	Send all	Citigroup Global Markets Inc. checks to: P.O. Box 7777-W9720 Philadelphia, PA 19175-0001

DO NOT MAIL SECURITIES TO THIS ADDRESS

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