Reset Form

403(b) Account Transfer Form

TD Ameritrade

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Fax: 866-468-6268

403(b) Account Transfer Form Instructions

The 403(b) Account Transfer Form is used to transfer assets from another brokerage to your TD Ameritrade account. If you wish to transfer assets between existing accounts at the same firm, please use the Internal Transfer Form. Note: Trading on an account will slow down the transfer process. This form can be completed online at **www.tdameritrade.com**. This form can be mailed to PO Box 2760, Omaha, NE 68103-2760, or faxed to **866-468-6268**. *(Note: Some delivering firms require original signatures on the 403(b) Account Transfer Form. To avoid delays, please contact the delivering firm before faxing the 403(b) Account Transfer Form.)*

If you have questions, or need additional forms, please visit our website at **www.tdameritrade.com** or call us at **800-669-3900**.

PLEASE REVIEW THESE GUIDELINES TO MAKE SURE YOUR TRANSFER CAN BE PROCESSED

- Complete the form by signing in Section 4. All parties/owners, including employer, must sign the 403(b) Account Transfer Form. Please verify that the Social Security Number and the title on the account at TD Ameritrade are exactly the same as the account at the other institution.
- To protect our clients, it is TD Ameritrade's policy to act only on transfer requests where the name(s)/title on the account being transferred matches the name(s)/title on the receiving TD Ameritrade account. Please read through the examples below for further information and instructions.
- **Important:** Attach a copy of the most recent statement from the institution you are transferring from.

Examples of Acceptable/Unacceptable Transfers:
Please read the following examples of acceptable and unacceptable transfers for further information and instructions:

Acceptable:	**From:**	John Q Public 403(b)	**To:**	John Q Public 403(b)
Unacceptable:	**From:**	John Q Public 403(b)	**To:**	Jane Q Public 403(b)

Important: Do not use this form to transfer between TD Ameritrade accounts.

FREQUENTLY ASKED QUESTION ABOUT ACCOUNT TRANSFERS

Q: How long will it take for my account to transfer?

A: Most account transfers are sent via Automated Customer Account Transfer Service (ACATS) and take approximately five to eight business days. Residual balances with the delivering brokerage firm after the transfer is completed will follow in approximately 10 to 20 business days. For questions regarding residual sweeps, please contact the Transferor firm directly.

Transfers that cannot be accomplished via ACATS generally take approximately three to six weeks to complete. However, this time frame is dependent upon the transferor firm and may take longer.

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1. PLEASE PROVIDE INFORMATION ABOUT YOUR TD AMERITRADE ACCOUNT

The registration of the account being transferred must match your TD Ameritrade account (e.g., 403(b) to 403(b)). If the registrations do not match, establish a new account online at **www.tdameritrade.com** or include the appropriate application with this request.

Account Number:	Primary Phone: ___ ___ ___–___ ___ ___–___ ___ ___ ___
Account Name(s) as it appears on the TD Ameritrade account:	Account Type:
Account Owner's U.S. Social Security Number: *(SSN)* ___ ___ ___–___ ___–___ ___ ___ ___	
Account Co-Owner's U.S. Social Security Number: *(SSN)* ___ ___ ___–___ ___–___ ___ ___ ___	

2. PLEASE PROVIDE INFORMATION ABOUT THE ACCOUNT TRANSFERRED

You **must** include a copy of the most recent statement of the 403(b) account you are transferring with this form. Please refer to it when completing this section.

Account Number:		
Account Name(s)/Title as it appears on your most recent statement:		Account Type:
Name of firm from which you are transferring your assets:		Phone Number: ___ ___ ___–___ ___ ___–___ ___ ___ ___
Mailing address of firm from which you are transferring your assets:		
City:	State:	ZIP Code: ___ ___ ___ ___ ___

3. PLEASE TELL US WHICH ASSETS TO TRANSFER

Note: Foreign securities and nonstandard assets, such as limited partnerships and private placements, may be charged additional fees, including a holding fee.

- Brokerage Firm Transfer: go to Section A
- Mutual Fund Transfer: go to Section B
- Bank, Insurance Company, Other: go to Section C
- Transfer agent or Dividend Reinvestment Plan: go to Section D

A. Transfer from a Brokerage Firm

☐ **This is a total transfer from a brokerage account.**

☐ **This is a partial transfer** – only transfer the assets listed below: *(If transferring cash, please specify dollar amount.)*
Cash $ ____

Asset Description and/or Stock Symbol	Number of Shares	Asset Description and/or Stock Symbol	Number of Shares

Additional assets can be requested by attaching an additional list of positions, including stock symbol and number of shares to be transferred.

B. Transfer from a Mutual Fund Company

- You must include a copy of the most recent statement of the account you are transferring with this form. Please refer to it when completing this section.

Fund Company Name:	
Account Number/Fund Number:	Fund Name and/or Symbol:

Instructions for Transferring Funds *(select only one)*

☐ Transfer all shares
☐ Partial transfer of ____________shares

Dividends and/or Capital Gains will automatically be reinvested unless you check here to receive cash ☐

☐ Liquidate all shares and transfer as cash
☐ Liquidate partial shares for a cash value of: $_____________ *(only the cash listed here will transfer)*

Account Number/Fund Number:	Fund Name and/or Symbol:

Instructions for Transferring Funds *(select only one)*

☐ Transfer all shares
☐ Partial transfer of ____________shares

Dividends and/or Capital Gains will automatically be reinvested unless you check here to receive cash ☐

☐ Liquidate all shares and transfer as cash
☐ Liquidate partial shares for a cash value of: $_____________ *(only the cash listed here will transfer)*

Please list any additional funds on a separate page.

C. Transfer from Bank, Insurance Company, Other

☐ **Redeem my CD immediately.** *(Please initial)* ________ I am aware of, and acknowledge, that I am responsible for any penalties that I may incur from any early withdrawal.

☐ **Redeem my CD at maturity.** Maturity date: _______________ *(Please initial)* ________ Submit request at least 21 days prior to maturity. Please advise your bank not to roll over the CD to a new term.

☐ **Transfer my life insurance policy.** *(Please initial)* ________ I have a life insurance policy that I wish to transfer. Please redeem and terminate the policy on my behalf.

☐ **Transfer my annuity.** *(Please initial)* ________ I have an annuity that I wish to transfer. Please redeem and terminate the contract on my behalf.

D. Transfer from a Transfer Agent or Dividend Reinvestment Plan (DRIP)

(Note: Please provide the most recent copy of your delivering account statement. All shares must be held in book-entry form prior to initiating the transfer.)

☐ Transfer all of my full shares to my TD Ameritrade account and liquidate any fractional shares in the account. I understand the cash proceeds of any liquidation will be mailed directly to the address on file for my account.

☐ Transfer all of my full shares to my TD Ameritrade account and liquidate any fractional shares in the account. I understand the cash proceeds of any liquidation will be mailed directly to the address on file for my account and my account with the delivering firm will be closed.

☐ Move all of my full shares to my TD Ameritrade account. Do not liquidate any fractional shares in the account. I understand that my account with the delivering firm will remain open and that I may continue to accrue shares if I am enrolled in a DRIP.

☐ Transfer only the assets listed in Section A above. I understand that my account with the delivering firm will remain open and that I may continue to accrue shares if I am enrolled in a DRIP.

4. TRANSFER AGREEMENT

Unless otherwise indicated in the instructions above, please transfer all assets in kind to my account to TD Ameritrade. 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 applicable regulations. I understand I will be contacted by the carrying and/or receiving firm with regard to any assets that are nontransferable.

Unless otherwise indicated, I authorize the Transferor to liquidate any nontransferable proprietary money market fund assets and mutual fund assets that are part of my account and to transfer the resulting credit balance to my account with TD Ameritrade. **If the fund is unable to be held by TD Ameritrade, I authorize the Transferor to liquidate and transfer as cash.** *(Please initial)* _________**.** I authorize the Transferor to deduct any outstanding fees due to Transferor 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, I authorize Transferor to liquidate 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 Transferor 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, Transferor will cancel all open orders for my account.

I affirm that I have destroyed or returned to the Transferor all credit/debit cards and/or unused checks issued to me in connection with my account.

If this TD Ameritrade account is a qualified retirement account, I have amended the applicable plan to designate the successor custodian. Alternatively, if this TD Ameritrade account is an Individual Retirement Account (IRA), I have adopted an IRA plan so that it names the successor custodian.

All authorized TD Ameritrade account owners must sign this form.

✗ Account Owner/Trustee's Signature:	Date: __ __–__ __–__ __ __ __
✗ Employer's Signature:	Date: __ __–__ __–__ __ __ __

For TD Ameritrade Clearing, Inc. use only
Please be advised that TD Ameritrade Clearing, Inc. is an "Approved 403(b)(7) Vendor" and/or has entered into an Information Sharing Agreement with the Employer for the above-captioned 403(b)(7) account. The Employer/Agent Signature above hereby authorizes TD Ameritrade Clearing, Inc. to accept this exchange.

✗ Successor Custodian's Authorized Signature:	Date: __ __–__ __–__ __ __ __

Investment Products: Not FDIC Insured * No Bank Guarantee * May Lose Value