

Instructions

To complete the form online, log in to your account, select *transfer accounts*, and follow the step by step process.

If completing a paper form, please follow these steps:

- 1.) Read these instructions and the frequently asked questions
- 2.) Complete and sign the *Account Transfer Form*
- 3.) Attach your most recent account statement
- 4.) If necessary, attach the *Additional Assets to Transfer Form*. (only required if additional room is needed and the appropriate box in Section C of the Account Transfer Form is selected)
- 5.) Attach Authorizing documentation (*only required if you are transferring a business, investment club, or trust account*)
- 6.) Attach a distribution form (*only required if you are transferring an employer sponsored account*)
- 7.) Send your completed *Account Transfer Form* to the address listed on the cover sheet of this form

Your Account Information

- You must submit a separate Account Transfer Form for every account you want to transfer.
- The name and type of the account you are transferring should match the name and type of account you maintain with us. A mismatch without verifying documentation may be rejected during the transfer process.

Your Transfer Information

You can transfer your entire account or a portion of your securities and cash balance.

- Full Transfer: A transfer of your entire account, including all securities or stocks and cash.
- Partial Transfer: A transfer including select securities or a portion of your cash balance.

You must choose to transfer the assets directly to your account with us or instruct your firm to sell the stock and transfer the cash proceeds.

- Some assets, such as proprietary mutual funds, bonds, unit investment trusts or limited partnerships cannot be transferred and need to be sold so the cash proceeds can be transferred to your FOLIOfn account. Because selling these investments may impact your taxes, we urge you to consult with a tax professional.
- If you hold a Certificate of Deposit (CD), you can choose to redeem it immediately or at maturity and transfer the cash proceeds. You may incur penalties from early redemption.
- Recent Account Statement: Please attach a copy of your current account statement for the account you are transferring. You must provide a statement – we cannot process your transfer request without one.
- Additional Assets to Transfer Form: If needed, please make sure you have checked the appropriate box in Section C of the Account Transfer Form.
- If you are transferring a business (Corporate, LLC, Limited Partnership or Sole Proprietorship), investment club or trust account, you must provide documentation that gives you the power to transfer the account, such as a corporate resolution or certification of investment powers.
- If you are transferring an employer sponsored account you must provide a completed distribution form. The employer administering your account should be able to provide you with this form.

Account Transfer Form

1. Information About Your FOLIO*fn* Investments, Inc. Account

Account Number:

Account Title: _____

Primary Account Owner Name/Trustee

Social Security Number or Tax ID

Joint Account Owner Name/Trustee (if applicable)

Social Security Number or Tax ID

Account Type:

Personal

Retirement

Employer Sponsored*

Business**

Other**

Individual

IRA Rollover

401-k

Corporate

Investment Club

Joint

Traditional IRA

Pension

LLC

Trust

Custodial

SEP IRA

Limited Partnership

Other: _____

Roth IRA - 5 year aging year: _____

Sole Proprietorship

Beneficiary IRA

2. Information About the Account You Are Transferring from Contra Firm

Account Title (must exactly match title in Section A.)

Account Number

Financial Institution Name

Telephone Number

Address (cannot be PO Box)

City, State, Zip, Country

Account Type:

Personal

Retirement

Employer Sponsored*

Business**

Other**

Individual

IRA Rollover

401-k

Corporate

Investment Club

Joint

Traditional IRA

Pension

LLC

Trust

Custodial

SEP IRA

Limited Partnership

Other: _____

Roth IRA - 5 year aging year: _____

Sole Proprietorship

Beneficiary IRA

*Please attach a distribution form when transferring employer-sponsored accounts. The employer administering the plan should be able to provide you with the distribution form.

**Please attach documentation that authorizes you to transfer the account, such as a corporate resolution or certification of investment powers.

3. Account Transfer Instructions

A.) I Want to Transfer:

- My Entire Account - skip to section 4**
- Part of My Account – list all assets below**

Cash (liquidate money markets)

(If transferring cash, please specify dollar amount)

- Transfer my entire cash balance.
- Partial Transfer of Cash. Transfer the following amount: \$_____

Stock

Description of Stock (Including Stock Symbol)	Number of Shares or "All"	Transfer Shares to my FOLIOfn Investments, Inc. Account
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

I have listed additional stock on the attached "Additional Assets to Transfer" Form.

Certificate of Deposit

- Redeem my CD immediately. Transfer the cash proceeds to my FOLIOfn Investments, Inc. account. I am aware of and acknowledge any penalty I may incur from an early redemption.
- Redeem my CD at maturity. Then transfer the cash proceeds to my FOLIOfn Investment, Inc. account.

Maturity Date: _____/_____/_____ (MM/DD/YYYY)

4. Authorization and Signature

To the financial institution named in Section 2: 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. 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 in its name for the purpose of sale, when and as directed by me. I understand that upon receiving a copy of these transfer instructions, 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.

I am aware that if I sell any investments in the account specified in Section 2 and 3 that the cash proceeds will not accrue interest while the sale is being processed.

Letter of Authorization (LOA) for Joint Account Transfers: We are aware of and acknowledge that the account transfer described in Section 2 will be transferred into the FOLIO*fn* account described in Section 1 as specified in this document.

Age 70½ Restrictions – The following restriction applies to a retirement account transfer: If I am over 70½, I attest that the securities and funds transferring to FOLIO*fn* do not include the required minimum distribution for the current year pursuant to Section 401(a) (9) of the Internal Revenue Code.

Agree to Arbitration to Resolve Disputes: I agree to resolve all controversies and disputes through arbitration and not the courts as required on the last page of FOLIO*fn*'s customer agreement. I agree that FOLIO*fn* does not recommend any securities or investments to me.

Attach a copy of your *most recent* statement and any other required documentation, for the account you are transferring.

Additional Documentation Requirements: Business, Investment Club and Trust Accounts must attach authorizing documentation. Employer sponsored accounts must attach a distribution form.

Primary Account Owner Signature

Date (MM/DD/YYYY)

Co-Account Owner Signature

Date (MM/DD/YYYY)

FIRM USE ONLY		
RECEIVING FIRM: FOLIO<i>fn</i> Investments, Inc. CLEARING NO.: 0728		
CUSTODIAL ACCEPTANCE PLEASE BE ADVISED THAT US Bank, NA ACCEPTS APPOINTMENT AS SUCCESSOR CUSTODIAN		MEDALLION SIGNATURE GUARANTEE PROGRAM
SUCCESSOR CUSTODIAN SIGNATURE	DATE	
IRA LETTER OF ACCEPTANCE FOLIO <i>fn</i> Investments hereby represents that it has established for the above-named individual an IRA that qualifies under Section 408 or Section 408A of the Internal Revenue Code, and will apply the proceeds of the above-described IRA asset transfer to such IRA upon receipt.		FOLIO <i>fn</i> Investments Authorized Signature

Additional Assets to Transfer

You can use this page to specify additional assets to transfer to your FOLIOfn Investment Inc. account if the space on the *Account Transfer Form* is not sufficient. If you are going to attach this page, please make sure you have checked the appropriate box(es) in Section C of the *Account Transfer Form* indicating that you are doing so. The boxes are located right below the *Stock* and *Other Assets to Transfer* tables.

FOLIOfn Investments Inc, Account Number:

Primary Account Owner Name

Additional Stock

Description of Stock (including Stock Symbol)	Number of Shares or "All"	Transfer Shares to my FOLIOfn Investments, Inc. Account
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

Additional Assets (Not Including Stock)

Description of Asset	Number of Shares or "All"	Transfer Shares to my FOLIOfn Investments, Inc. Account
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>