



Account Number _____

SS#/TIN _____

Account Transfer

TF

About Your UBS Financial Services Inc. Account

Account Title _____

For Retirement Accounts Only—Account is to be transferred into a:

- Traditional IRA
 Traditional IRA Rollover
 SEP IRA
 Roth IRA
 QP
 SIMPLE IRA
 CODA SEP-IRA
 Coverdell Education Savings Account

The account is transferring from a qualified retirement plan by means of a direct rollover into a*:

- Traditional IRA
 SEP IRA
 Rollover IRA
 CODA SEP IRA

*Pursuant to IRS Regulations, qualified retirement plan assets cannot be rolled over to a SIMPLE IRA or Roth IRA.

About the Account You Are Transferring

Please refer to your statement for the following information and attach a complete copy of your most recent statement for this account.

Name(s) and Title of Account on your statement _____

Name of Firm/Fund Company _____

Your Account Number _____

Street Address of Firm/Fund Company _____

SS#/TIN: _____

City _____ State _____ Zip _____

Please complete a separate form for each account you transfer (photocopies are acceptable).

Type of Transfer You Are Making Please answer the following questions

Do you wish to transfer your entire account? Yes No

If you answered "yes," skip to the next question. If you answered "no," and the transfer is not coming directly from an insurance or mutual fund company, please provide the following information for the assets you intend to transfer.

Indicate the number of shares of each asset you wish to transfer or write "all."

Description of Asset	Quantity	Description of Asset	Quantity
1.		4.	
2.		5.	
3.		6.	

Are you transferring directly from an insurance or mutual fund company? Yes No

If you answered "no," skip to the next question. If you answered "yes," please provide the following information for each annuity or mutual fund you intend to transfer. (Some assets are not transferable. If the asset is not transferable, UBS Financial Services Inc. can be named broker-dealer and/or custodian at the company, or the assets can be sold. Requests to sell positions are dependent upon the delivering firm receiving and processing the request and may take several weeks to complete. Liquidations can also be processed by calling the delivering firm.)

Name of Fund/Annuity	Account Number	Quantity (indicate # of shares or "All")
1.		
2.		
3.		
4.		

UBS Financial Services Inc. Branch Use Only 0221

UBS Financial Services Inc. DTCC Clearing Number

Broker Clearing Number

Custodian or Trustee of Account (if applicable)

CONTINUE →

Account Number _____

SS#/TIN _____

Type of Transfer You Are Making *continued*
Are you transferring directly from a Bank, Savings and Loan or Credit Union? Yes No

If you answered "no," skip to the next question. If you answered "yes," please complete the following section.

 I am only transferring cash. Please transfer: All cash in account Only \$ _____

I have a CD that I want to transfer. Please:

 Liquidate it IMMEDIATELY. I am aware of and acknowledge the penalty I will incur from any early withdrawal.

 Liquidate it AT MATURITY. Maturity date _____ (Please submit 2 weeks before maturity date)

Do you wish to liquidate any assets as part of this transfer? Yes No

If you wish to liquidate any assets prior to this transfer, please supply the branch operations manager at your previous firm with verbal instructions and advise your Financial Advisor at UBS Financial Services of this liquidation request.

Initiate the transfer of a maturing Certificate of Deposit (CD) no more than two weeks prior to the maturity date. Otherwise, you may incur early withdrawal penalties.

Client Instruction

Please transfer the assets specified to UBS Financial Services Inc., which has been authorized by me to make payment to you of the debit balance or to receive payment of the credit balance in my securities account and will act as clearing broker by arrangement with UBS Financial Services Inc. I understand that to the extent any assets in my securities account are not readily transferable, with or without penalties, such assets may not be transferred within the time frame required by New York Stock Exchange Rule 412 or similar rule of the National Association of Securities Dealers or other designated examining authority.

Unless otherwise indicated in the instruction contained herein, I authorize you to liquidate any proprietary money market fund assets that are part of my securities account and transfer the resulting credit balance to UBS

Financial Services Inc. I understand that you and/or UBS Financial Services Inc. will contact me with respect to the disposition of any other assets in my securities account that are either non-transferable or non-deliverable. If certificates or other instruments in my securities account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable UBS Financial Services Inc. to transfer them in its name for the purpose of sale, when and as directed by me. I further instruct you to cancel all open orders for my securities account on your books if this is a full transfer as noted on this form.

I affirm that I have destroyed or returned to you any credit/debit cards and unused checks given to me in connection with my securities account if this is a full transfer as noted on the this form.

Delivering Agent: *Please refer to the attached page for delivery instructions.*


Account Owner's Signature	Date
Additional Party Signature	Date
Additional Party Signature	Date
Additional Party Signature	Date

Authorization (UBS Financial Services Inc. completes).

To the prior trustee or custodian: Please be advised that UBS Financial Services Inc. will accept the above-captioned account as successor custodian.

Successor Custodian/Trustee Authorized Signature	Date
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For Internal Branch Use Only
Liquidations

1. Check with the client to determine if any assets require liquidation.
2. If liquidations are requested, ask the client to contact the branch operations manager at previous firm with verbal instructions. Verbal instructions will result in fewer delays in the transfer process. PLEASE DO NOT SEND LIQUIDATION INSTRUCTIONS TO THE ACCOUNT TRANSFER DEPT. Always follow up the next day to ensure execution of liquidation request.

ACAT versus Non-ACAT—The transfer is an ACAT transfer if both of the following conditions are met: Either part of or the entire account is to be transferred and the delivering firm is ACAT-eligible.

 Account is transferring via: ACAT Non-ACAT. If ACAT or Non-ACAT, the branch should process the transfer and retain the paperwork.

All Account Transfer procedures are available on InfoNet.

Account Transfer Form Delivery Instructions

Delivery Instructions: **All deliveries must include client name and UBS Financial Services Inc. account number.**
(Tax Identification No. 13-2638166)

All DTCC-Eligible Securities

Deliver to DTCC Clearing 0221. If you have any questions about the clearing number, please call 201-352-6300. **All deliveries must have client name and UBS Financial Services Inc. account number.**

Dividend Reinvestment/Closed-end Mutual Funds

Issue a certificate for all whole shares, liquidate all fractional shares and discontinue dividend reinvestment. **All deliveries must include client name and UBS Financial Services Inc. account number.**

Physical Delivery of Securities

Physical Securities Window
UBS Financial Services Inc.
1000 Harbor Blvd., 6th Floor
Weehawken, NJ 07086
All deliveries must have client name and UBS Financial Services Inc. account number.

Retail Transfer of Federal Funds

UBS AG
ABA #026007993
UBS FINANCIAL SERVICES RETAIL INCOMING
A/C #101-WA-258641-000
F/C UBS-FINSVC CLIENT A/C NAME
A/C UBS-FINSVC INTERNAL A/C NUMBER

U.S. Government/Fed Book Entry Securities

ABA 021000021
JPMChase/PAIN/CLIENT A/C # & NAME

Forward Checks

UBS Financial Services Inc.
1000 Harbor Blvd.
Weehawken, NJ 07086
Attn: Central Check Deposit, 8th Floor
All checks must include client name and account number.

For All Correspondence Related to a Liquidation or Transfer of Any Security or Annuity Product

UBS Financial Services Inc. Branch
Call Phone Number on Client Statement to Obtain Proper Address
Do not send liquidation paperwork to Account Transfer Dept.

For All Other Account Transfer Related Correspondence From Contra Firms Only

(Clients: Please send to your Financial Advisor at the UBS Financial Services Inc. branch office.)

UBS Financial Services Inc.
1000 Harbor Blvd.
Weehawken, NJ 07086
Attn: Account Transfer, 6th Floor
Must include client name and UBS Financial Services Inc. account number.