



# Incoming Transfer Form

Use this form to transfer assets from your current broker or Transfer Agent to DriveWealth, LLC. Please submit this form and a copy of your statement dated within 90 days to ensure proper handling and processing of your transfer. **Account titles and Tax Identification Number(s) must match.**

## Delivering Account Information - Tell us about the account you want to move to DriveWealth

Account Number	
Account Name(s)/Title	
Account Holder's Address	
Tax ID(s) on Account	
Delivering Firm Name	
Delivering Firm Transfer Department Phone Number and/or Email Address	
Delivering Firm DTC/ACAT Clearing Number (not applicable for DRS transfers)	
Delivering Account Type (Individual, Joint, Trust, UGMA/UTMA, IRA, Rollover IRA, Roth IRA, Other)	

## DriveWealth Account Information - Tell us about the account where your assets will be transferred

DriveWealth Account Number	
DriveWealth Account Name(s)/Title	
Tax ID(s) on the DriveWealth Account	
DriveWealth Account Type	

**Transfer Type** - Indicate your preference below. Please note, fractional shares cannot be transferred; you will need to work with the delivering firm to resolve any partial positions before initiating your transfer request.

Full ACAT Transfer - Please transfer all securities and cash

Partial ACAT Transfer - Please transfer only the securities/cash specified below

DRS Transfer

DTC Free of Payment (FOP) Transfer (must be DTC code 40)

Position Name	Position Symbol or CUSIP	Number of shares

\$\_\_\_\_\_ Cash Amount

**Mutual Funds** - Complete this section **only** if you hold mutual funds directly with a mutual fund company rather than in your existing brokerage account.

If a mutual fund cannot be held at DriveWealth, your signature at the end of this form gives authorization to the Delivering Firm to liquidate the position and transfer the cash in a manner which you will arrange with the Delivering Firm before initiating your transfer request.

Mutual Fund Company Name	Account Number	Quantity	Handling (check one) <ul style="list-style-type: none"> <li>• In-Kind means your position will not be liquidated</li> <li>• Liquidation means your position will be sold before transfer to DriveWealth</li> </ul>	Gains & Dividends (applicable only if you selected " In-Kind" - select one)
			<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
			<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
			<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash
			<input type="checkbox"/> In-Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> Reinvest <input type="checkbox"/> Cash

**Signatures** - All DriveWealth account holders/custodians/trustees must sign below. By signing this form, you acknowledge you have carefully read, understood, and agreed to the provisions of this document as well as its terms and conditions. You certify the information provided by you on this form is true. Your signature(s) authorize(s) DriveWealth to process the transfer of your assets from your current firm to DriveWealth, LLC.

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Account Owner Signature / Date

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Co-Account Owner Signature / Date

## Terms & Conditions

All DriveWealth account holders/custodians/trustees agree as follows:

- If my DriveWealth account is a qualified retirement account, I have amended the applicable plan so that it designates DriveWealth, LLC as successor custodian. If my DriveWealth account is an Individual Retirement Account (IRA), I have adopted an IRA plan so that it names DriveWealth, LLC as successor custodian.
- Unless otherwise indicated in the instructions above, please transfer, in-kind, all assets into my account with DriveWealth, LLC. I understand that to the extent any assets in my account are not readily transferable, with or without any penalties, such assets may not be transferred within the timeframes required by applicable regulations. I understand that I will be contacted by DriveWealth, LLC with regard to any assets that are not transferable. As fractional shares of stock are not transferable, any and all fractional shares held at the Delivering Firm will be liquidated upon the transfer of the whole shares.
- Unless otherwise indicated in the instructions above, I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the successor custodian. I authorize the Delivering Firm to deduct any outstanding fees due to transfer from the credit balance, or if the credit balance in my account is insufficient to satisfy any outstanding fees due to you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy such obligation.
- If certificates or other instruments in my account are in the Delivering Firm's possession, I instruct the Delivering Firm to transfer them in food 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, for a full account transfer, the Delivering Firm will freeze my account and cancel all open orders. I understand that no new orders may/will be taken.
- If the assets I am transferring are considered non-standard assets at DriveWealth, LLC, I realize I may be charged a set-up and/or maintenance fee for such positions.

**Letter Of Acceptance (must be requested by delivering firm if needed)**

DriveWealth, LLC is approved by the Internal Revenue Service (IRS) to act as a non-bank custodian.

DriveWealth, LLC agrees to serve as the successor custodian for the account of the above named individual and agrees to accept the assets being transferred.

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DriveWealth Representative Name / Signature / Date

**Delivery Instructions (if needed by delivering firm)**

Receiving Firm Name	DriveWealth, LLC
Receiving Firm Address	28 Liberty Street, 50th Floor, New York, NY 10005
All DTC-Eligible Securities	All deliveries must include the customer's name and DriveWealth's 17 digit alpha-numeric account number <i>without dashes</i> (found in the upper left corner of the customer statement)
ACATS	DTC #2402
Mutual Fund Registration Instructions	Please contact <a href="mailto:operations@drivewealth.com">operations@drivewealth.com</a> for delivery instructions. All deliveries must include the customer's name and DriveWealth's 17 digit alpha-numeric account number <i>without dashes</i> (found in the upper left corner of the customer statement)