

# Transfer of assets form

Print clearly in CAPITAL LETTERS. Mark small boxes with an .

**Mail to:**  
Mercer Securities  
P.O. Box 9746, Providence, RI 02940-1208  
**For additional information:**  
Contact a Mercer Securities representative  
toll free at 1-866-727-7277.

## 1. Account information

### Your Mercer Securities Services Account

**Account number** (Leave blank if new account. New accounts must be accompanied by appropriate application.)

**Mercer Clearing # (DTC#) (Internal Use Only)**

- ACAT     NFTS  
 CIT     NON-ACAT

**Account owner's first name**     Mr.    Mrs.    Ms.    **M.I.**

**M.I.**

**Last Name**

**Tax ID or Social Security number**

**Daytime phone**

**Joint owner's first name**     Mr.    Mrs.    Ms.    **M.I.**

**M.I.**

**Last Name**

**Mailing address (including apartment or box number)**

**Mailing address (continued)**

**City**

**State**

**Zip code**

### Your Account to be Transferred

**Current account number**

#### Account Type

**Please note:** Account ownership must match exactly as it appears on statement when transferring between firms.

#### Nonretirement Account

- Single     Estate     Custodial     Other  
 Joint     Corporate     Trust

#### Retirement Account

- Traditional IRA     Roth IRA  
 Rollover IRA     Company Retirement Plan

**Account owner's first name**     Mr.    Mrs.    Ms.    **M.I.**

**M.I.**

**Last Name**

**Joint owner's first name**     Mr.    Mrs.    Ms.    **M.I.**

**M.I.**

**Last Name**

**Current firm/trustee/custodian contact**

**Current firm Clearing # (DTC#)**

**Current firm mailing address**

**City**

**State**

**Zip code**

Brokerage accounts are cleared through Pershing LLC, member of FINRA, NYSE and SIPC.

Mercer HR Services, Mercer Securities and MMC Securities Corp. are affiliates of and owned by Marsh & McLennan Companies and are not affiliated with Pershing LLC.

Mercer Securities, a division of MMC Securities Corp. is a registered broker/dealer and member FINRA/SIPC.



## 2. Transfer instructions (Please check only one box.)

A complete copy of your most recent statement dated within the past 90 days is necessary for this form to be processed. A signature guarantee may be required.

- Transfer all assets in kind.** (If you check this option, skip directly to Section 3.) Money market funds must be liquidated and transferred in cash.
- Liquidate assets and transfer proceeds in cash.**
- Liquidate** certificate of deposit and **transfer** proceeds immediately. By checking this box, you acknowledge that you may incur a penalty for early withdrawal from your account.
- Liquidate** certificate of deposit at maturity. *CD maturity date month/day/year*  
 This form must be submitted 21 days prior to maturity. [ ] [ ] / [ ] [ ] / [ ] [ ] [ ] [ ]
- Partial in-kind transfer.** Please transfer only the assets and quantities indicated below. If you have more than two assets to list below, please attach a signed asset list to this form. **For mutual fund transfers only:** To receive either cash dividends or capital gains, check Box "C" in the respective column below; to reinvest these distributions, check Box "R." If no option is selected, all dividends and capital gains will be automatically reinvested.

Quantity	Asset Description	CUSIP / Symbol	Dividend Option	Capital Gain Option
[ ]	[ ]	[ ]	<input type="checkbox"/>	<input type="checkbox"/>
[ ]	[ ]	[ ]	<input type="checkbox"/>	<input type="checkbox"/>

(Mutual funds only)

## 3. Signature guarantee (May be necessary. Please inquire with your current custodian.)

In order for Mercer to obtain your assets from your current custodian, your current custodian may require your signature to be guaranteed. If they do, please obtain a guarantee from an appropriate financial institution, after which proceed to Section 4. If your current custodian does NOT require a signature guarantee, no action is necessary on your part; proceed to Section 4.

Authorized officer to place stamp here

*Date month/day/year*

[ ] [ ] / [ ] [ ] / [ ] [ ] [ ] [ ]

## 4. Your authorization

Unless otherwise indicated in the instructions above, please transfer my entire securities account to Pershing LLC, as clearing broker for Mercer Securities ("receiving organization"), which has been authorized by me to receive payment of the credit balance in my securities account. If I am transferring my IRA assets, please be advised that I have adopted a new IRA with Mercer as trustee and the receiving organization as clearing broker. 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 frames 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 above, I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my securities account and transfer the resulting credit balance to the receiving organization. I understand that you will contact me with respect to the disposition of any other assets in my securities account that are nontransferable. 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 such receiving organization 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. I affirm that I have destroyed or returned to you any credit/debit cards and/or unused checks issued to me in connection with my securities account. If I have not yet completed my new account application or any other necessary forms, I understand that Mercer Securities will not open an account to accept my transfer, and that I may not begin trading until such documents are executed and approved. If this transfer constitutes a conversion contribution from my traditional IRA to a Mercer Roth Brokerage IRA, I acknowledge that the transfer is a taxable event that will be reported to the Internal Revenue Service by my traditional IRA trustee or custodian.

*Account owner's signature*

[ ]

*Date month/day/year*

[ ] [ ] / [ ] [ ] / [ ] [ ] [ ] [ ]

*Joint account owner's signature*

[ ]

*Date month/day/year*

[ ] [ ] / [ ] [ ] / [ ] [ ] [ ] [ ]

