

TRANSFER REQUEST

Institutional Advisor Services



TCA Account Number

Section 1: Receiving Firm: Trust Company of America (TCA) Account – Clearing Number 5981

Account Registration at TCA

TIN/EIN/SSN	JOINT SSN
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Account Type at TCA (Select One)

Single or Individual
 Joint/Community Property
 Trust
 Corporate or Company
 UTMA
 UGMA
 Traditional, Rollover or SEP IRA
 Roth IRA
 Beneficiary IRA
 Beneficiary Roth IRA
 SIMPLE IRA
 403(b)
 403(b) Roth
 401(k)
 401(k) Roth
 457
 Qualified Plan
 Other, list type _____

To make a contribution to a TCA retirement account from a TCA non-retirement account (internal transfer), please indicate the effective year. If nothing is selected, we will default to a current year contribution. Current Year Prior Year

Section 2: Delivering Firm: Account to be Transferred From

Delivering Firm Name	Delivering Firm Account Number
Delivering Firm Street/PO Box Address	Account Registration at Delivering Firm
Delivering Firm City, State and Zip Code	

Account Type at Delivering Firm (Select One)

Single or Individual
 Joint/Community Property
 Trust
 Corporate or Company
 UTMA
 UGMA
 Traditional, Rollover or SEP IRA
 Roth IRA
 Beneficiary IRA
 Beneficiary Roth IRA
 SIMPLE IRA
 403(b)
 403(b) Roth
 401(k)
 401(k) Roth
 457
 Qualified Plan
 Other, list type _____

Registration Changes, if applicable check box: All authorized parties on the existing and new account have authorized the transfer and registration change.

Section 3: Select Transfer Type *If the delivering firm is ACATS eligible with TCA, the transfer will be sent ACATS (In-Kind)

Full In-Kind
 Full – Liquidate All (*If firm is non-ACATS)
 Full – Liquidate below assets, remaining assets In-Kind (* If firm is non-ACATS)
 Partial Cash \$ _____
 Partial In-Kind (tickers/CUSIPS & share amounts below)
 Partial liquidation (tickers/CUSIPS & share amounts below)

Indicate Assets, share amounts and/or maturity dates below: A list of additional assets has been attached to this transfer form.

1. _____ 2. _____ 3. _____

LIQUIDATION INSTRUCTIONS: (please mark all that apply)

Send funds to TCA via: Check Wire - If nothing is selected then a wire will be requested and fees may apply.

If CDs/Annuities are to be liquidated, please do so Immediately or Upon Maturity date of _____
 (If Upon Maturity is selected please provide maturity dates. I am aware of and acknowledge the penalty that I will incur from early withdrawal.)

Section 4: Signature(s) – Clients and Authorized Parties Are Required To Sign

By signing below I hereby certify that I have read and taken any required actions as provided in Section 6, for my IRA, if applicable.

Print Name for Signature Below	Date:	Print Name for Signature Below	Date:
Client Signature/Authorized Party		Joint Client Signature/Authorized Party	
Medallion Signature Guarantee		Medallion Signature Guarantee	

Section 5: Successor Custodian Acceptance (for TCA Only)

To the prior Trustee/Custodian: TCA agrees to serve as the successor Custodian for the account of the above-named client, and as Custodian, we agree to accept the transfer of assets to this account. Be advised that the new account name will read: **Trust Company of America FBO the above-named client. Custodian Tax ID # 84-6179736.**

TCA/Successor Custodian Authorized Signature:	Date:
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Section 6: Special Notice for an Individual Retirement Account Transfer

Required Minimum Distribution Notice: I understand that if this transfer from an Individual Retirement Account is occurring during or after the calendar year during which I attain the age of 70½, or if I am a beneficiary who is subject to a required minimum distribution ("RMD"), the required minimum amount determined under this Individual Retirement Account Retirement Account is still required to be distributed. I further understand that the current Trustee/Custodian is not responsible for making this distribution prior to the transfer. I accept full responsibility for satisfying the RMD applicable to this Individual Retirement Account by withdrawing sufficient amounts prior to the deadline for RMDs for the calendar year of the transfer.

If this transfer leaves the transferor account in one year but does not reach my TCA Individual Retirement Account until the following year, I understand that this will be an "outstanding transfer" as of December 31st. TCA, as Custodian, must "deem" that the transfer was received as of the prior December 31st for determining any RMD from the TCA Individual Retirement Account for the year that the transfer was received. I will inform TCA of any such outstanding transfer.

Section 7: Delivery Instructions

IMPORTANT: This section is for the delivering firm use only. TCA is a member of the ACATS system. Delivering firm is authorized to wire proceeds to TCA if wire or check is not selected in Section 3.

Make Checks Payable to:

Trust Company of America FBO (Client's Full Name)
(Trust Company Account Number)
P.O. Box 5158
Englewood, CO 80155-5158

Wiring Instructions:

UMB Bank, Kansas City, MO
ABA#: 101000695
Account #: 9872291522
For Further Credit to: FBO (Client's Full Name)
(TCA Account Number)

Overnight Delivery Address:

Trust Company of America FBO (Client's Full Name)
(Trust Company Account Number)
7103 South Revere Parkway
Centennial, CO 80112

DTC Eligible Securities:

DTC Participant #: **5981** Trust CO
For Further Credit to: FBO (Client's Full Name)
(Trust Company Account Number)

Book Entry Government Securities via Federal Wire:

JPMORGAN Chase NYC/CUST
Account #: **P23000**
ABA #: 021000021
For Further Credit to: FBO (Client's Full Name)
(Trust Company Account Number)

ACH Instructions:

JPMorgan Chase Bank
Account #: 193526363
ABA #: 102001017
* Put the 6 Digit TCA account number in ACH PPD transaction field #7, a space, then the first ten characters of the account holder's last name.
Example: 123456 SMITH

Questions: (303) 705-6000

- End Form -