

Incoming Direct Registration System/Deposit and Withdrawal at Custodian Authorization Letter

Please use this form to transfer securities through the Direct Registration System (DRS) or deposit and withdrawal from a custodian to Merrill Lynch, Pierce, Fenner & Smith Incorporated (Merrill).

Direct Registration System (DRS): A DRS transfer is most commonly used when your securities are held directly on the books and records of a transfer agent and you would like to move those securities to Merrill.



Your transfer request is a DRS transfer if:

- The shares are already issued and are registered to you.
- You have an account number with the transfer agent and receive statements.

Deposit and Withdrawal at Custodian (DWAC): A DWAC refers to new or certified paper shares to be electronically transferred. This transfer option is typically used for shares that were awarded from a company/employer and will need to be pulled from a pool of shares to complete the electronic transfer.



Your transfer request is a DWAC transfer if:

- The shares are new and will need to be pulled from a pool of shares.
- You do not have a personal account with the transfer agent and do not receive statements.

Note: Movement of certain low priced securities may be subject to restrictions.

Avoid transfer delays! Please review the following section:

Use one form for each account that you are transferring.

Complete this entire form and use CAPITAL letters and BLACK ink.

Complete only DRS section (2a) OR DWAC section (2b) on transfer form.

Make sure a W-9 is on file with the transfer agent

Make sure the transferring shares are in book entry form

For DRS transfers, print all pages of your most recent statement dated within the last six months and submit with this form.

Send all documents to us using one of these methods:

Overnight and Regular Mail

Merrill Document Processing
 FL1-908-01-36
 4909 Savarese Cir
 Tampa, FL 33634

Fax

877.229.7160

For faster service, this form can be completed electronically by signing into your account on merrilledge.com.

Financial Solutions Advisor: _____

Phone Number: _____

If any of the following scenarios apply:

Provide a copy of the following documentation:

Different last name	Marriage, divorce or legal name change
Individually owned to a jointly owned Merrill account	Driver's license or government-issued ID for all account owners; we may also contact you for additional requirements
Jointly owned account to an individual Merrill account	Please call a Merrill specialist at 877.653.4732
Different Trustees	Updated Trust Agreement

Need help? Call 877.653.4732 to speak with a Merrill specialist.

Investment products:

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Complete ALL fields

1. Please enter your Merrill account information:

Account number: - Taxpayer Identification Number or Social Security number _____

Use CAPITAL letters and BLACK ink.

Account holder name (first, middle, last) _____ Co-account holder name (first, middle, last) _____ Entity name (trust/business/estate) _____
Merrill Account type (select one): _____
Non-retirement Retirement Street City State ZIP Code

2. Please enter transfer agent's information:

Complete only section 2a or 2b

2a. Direct Registration System(DRS): DRS will allow you to electronically transfer shares from the transfer agent to Merrill.
Please be sure to include your most recent **account statement**, dated within the last six months.

2b. Deposit/Withdrawal at Custodian (DWAC): A DWAC typically needs to be done when you are awarded shares from a company and they are pulled from a pool of shares. You will not have a personal account with the transfer agent in these situations.

Account holder name (first, middle, last) _____

Account holder name (first, middle, last) _____

Social Security number _____

Social Security number _____

Name of transfer agent/contra firm _____

Name of transfer agent/contra firm _____

Account number (key) _____

Control/transaction number (if available) _____

Stock name _____ Stock symbol _____

Stock name (required) _____ Stock symbol (required) _____

Contra Account type: Non-retirement Retirement

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Transfer Instructions (select one)

- Transfer _____ whole shares. (insert # to be transferred)
- Transfer all whole shares, liquidate fractional shares, and close the account.

Transfer Instructions

- Transfer _____ whole shares. (insert # to be transferred)

Select one transfer option

3. Sign and date:

Sign and date

Account holder signature _____ Date _____ Co-account holder signature _____ Date _____

4. Medallion Signature Guarantee: Only required if transferring from unlike ownership

Have Questions? Call 877.653.4732 to speak with a Merrill specialist

*Medallion Signature Guarantee is a certification stamp used to protect shareholder accounts and prevent the unauthorized transfer of assets. By stamping documents, the endorser certifies the signature is genuine and the person signing is legally authorized to do so. This stamp is available from most banks, credit unions and other financial institutions.

Medallion Signature Guarantee Stamp

Medallion Signature Guarantee Stamp