



**SECTION 4: ACCOUNT HOLDER SIGNATURE(S)**

By signing below I/we agree to read and be bound by the terms and conditions printed in this document. If the account is a retirement account, I/we hereby certify that the retirement account is eligible to be transferred to the account I/we have established with the Successor Custodian named herein. If this is a Profit Sharing or Money Purchase Pension Plan transfer, I/we certify that none of the amount to be transferred will include the required minimum distribution for the current year.

Further I/we agree that ETC does not accept and will not act as Custodian/Trustee of and for any assets and/or positions which are not actually transferred to ETC and specifically does not approve any notation on the books and records of any entity, including but not limited to any mutual fund company, that indicates, implies, and/or states that ETC is the Custodian/Trustee of any assets held away from ETC.

I/We understand that to the extent any assets in my/our account are not readily transferrable, with or without penalties, such assets may not be transferred within the time frames required by FINRA Rule 11870 or other designated examining authority. Unless otherwise indicated in Section 3 of this form, I/we authorize ETC to liquidate any non-transferrable proprietary or non-proprietary money market fund assets that are part of my/our account and transfer the resulting credit balance to the Successor Custodian. I/We understand that if I/we choose a method of disposition of such assets other than liquidation and transfer, I/we may become liable for payment of taxes and penalties with respect to such assets. I/We also understand that we will be notified in writing by the delivering firm, and/or by the receiving firm with respect to the disposition of any other assets in my/our account that are non-transferrable. I/We authorize ETC the account is insufficient to satisfy any outstanding fees due ETC, I/we authorize ETC to liquidate the assets in my/our account to the extent necessary to satisfy any outstanding fees due ETC. If certificates or other instruments in my/our account are in ETC's physical possession, I/we instruct ETC to transfer them in good deliverable form, including affixing any necessary tax waivers to enable ETC to transfer them in its name for the purpose of sale, when and as directed by me/us. Upon receiving a copy of this transfer instruction, the delivering organization will cancel all open orders for my/our account on its books. I/We affirm that I/we have destroyed or returned to ETC credit/debit cards and/or unused checks issued to me/us, if any, in connection with the account I/we have designated for transfer.

Age 70½ Restrictions – The following restrictions apply to certain retirement account transfers.

If I am over 70½ and am using this form to effect a direct rollover, I attest that none of the amount to be transferred will include the required minimum distribution for the current year pursuant to Section 401(a)(9) of the Internal Revenue Code.

Primary Account Holder:

Signature:

Date:

Secondary Account Holder:

Signature:

Date:

**IRA, Employer Sponsored Retirement Plan or Coverdell ESA Account Transfer Custodial Acceptance**

To the Prior Custodian/Trustee:

ETC hereby accepts its appointment as Successor Custodian for the IRA, Employer Sponsored Retirement Plan or Coverdell ESA Account as indicated on this transfer form. The receiving amount is maintained under Internal Revenue Code Section 408, 401, or 530, as applicable.

Successor Custodian Name:

Signature:

Date:

**Profit Sharing/Money Purchase Pension Plan Administrator Release and Authorization**

Authorization for Transfer of Profit Sharing or Money Purchase Pension Plan As Plan Administrator, I am authorizing the transfer of the aforementioned Profit Sharing Plan or Money Purchase Pension Plan Account to the corresponding participant account under my plan at ETC as Custodian.

Plan Administrator Name:

Signature:

Date:

Registered Representative:

Telephone Number:

Branch:

RR Number: