



Please complete sections 1 and 2. Then complete either section 3,4 or 5.

TradeUP Securities clearing #:0287

1. INFORMATION ABOUT YOUR TRADEUP SECURITIES ACCOUNT

Title as it appears on your account	
Your TradeUP Securities account #	
Tax ID or Social Security #	Joint Tax ID or Social Security # (if applicable)

2. INFORMATION ABOUT THE ACCOUNT YOU ARE TRANSFERRING (Please use a separate form for each account you transfer.)

Name of brokerage/financial institution	Your account #
Address of brokerage/financial institution	
Title of account	

3. BROKERAGE OR SECURITIES TRANSFER A copy of the customer's most recent statement (all pages) MUST be attached.

- ☐ Please transfer my entire account in kind. (Proceed directly to section "6" and sign this form.)
☐ Partial transfer. Please transfer the following assets in kind: (attach additional signed pages if necessary.)

Quantity	Symbol and/or CUSIP #	Quantity	Symbol and/or CUSIP #

4. MUTUAL FUND TRANSFERS, Not in a Brokerage Account

Name of fund (one form per fund):		
☐ Liquidate or ☐ Transfer in-Kind	"all" or "%" or "number shares"	<u>Capital Gains & Dividend</u> _____ Reinvest _____ Cash

5. BANK, SAVINGS & LOAN, CREDIT UNION or INSURANCE CO. TRANSFER

Check One: ☐ All cash in account ☐ Only \$ _____	CD Options ☐ Liquidate IMMEDIATELY. I am aware of and acknowledge the penalty I will incur for early withdrawal. ☐ Liquidate at MATURITY. Maturity date _____. (Please submit 2-3 weeks before maturity date.)
CD's and Annuities (IRA or qualified plans only) ☐ Liquidate Annuity (I am aware there may be a surrender charge.)	

Please sign section 6 and return completed form to TradeUP Securities.

6. ACCOUNTHOLDER'S SIGNATURE

Medallion Signature Guarantee (Internal Use Only)	If this account is an Individual Retirement Account, I have amended the applicable plan so it names TradeUP Securities as successor custodian. Unless otherwise indicated in the instructions above, please transfer all assets in my account to TradeUP Securities. I understand that to the extent that any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the time frame required by NYSE Rule 412 similar rule of the NASD or other designated examining authority. 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 or receiving organization. I authorize you to deduct any outstanding fees due to you from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance in the 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 that obligation. If certificates or other investments in my account are in your possession, I instruct you to transfer them in good 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 directed by me. I understand that upon receiving a copy of this transfer instruction, you will cancel all open orders for my account on your books with respect to the securities being transferred. I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me in connection with my securities account. I understand that by transferring my mutual fund(s) to TradeUP Securities all future correspondence concerning my mutual fund position must be directed to them. Further-more, I acknowledge that while my fund positions are being held in street name with TradeUP Securities, I will not be able to have direct communication with the fund company concerning my account.
---	--

_____	<u>X</u> _____	<u>X</u> _____
DATE	ACCOUNT OWNER SIGNATURE	JOINT ACCOUNT OWNER SIGNATURE

7. REMINDER: A COPY OF YOUR MOST RECENT ACCOUNT STATEMENT (all pages) MUST BE ATTACHED.

FOR TRADEUP SECURITIES USE ONLY:		
SUCCESSOR CUSTODIAN SIGNATURE	DATE	NAME OF INVESTMENT PROFESSIONAL

FOR DELIVERING FIRM USE ONLY—TRADEUP SECURITIES INC. DELIVERY INSTRUCTIONS

RECEIVING FIRM INFORMATION

TradeUP Securities Inc.
101 Eisenhower Parkway
Roseland, NJ 07068
Telephone: (973)228-2886
Fax: (973)228-9762
Tax Id: 22-2745263

Delivery Instructions Note: All deliveries must include the client name and TradeUP Securities Account #. Money market funds must be liquidated and transferred as cash. TradeUP Securities accepts PTD transfers.

DTC ELIGIBLE SECURITIES

DTC #0287
FBO: (Client's Name)
TradeUP Securities Account #

CHECKS

TradeUP Securities Inc.
Attn: ACAT Dept.
101 Eisenhower Parkway
Roseland, NJ 07068
FBO: Client's Name and TradeUP Securities Account #

FED WIRED MONEY

US Bank
St. Louis, MO
ABA # 081000210
Credit: TradeUP Securities Inc.
A/C # 152304867517
FBO: Client's Name and TradeUP Securities Account #

MUTUAL FUNDS

TradeUP Securities Inc.
FBO: Client's Name and TradeUP Securities Account #
101 Eisenhower Parkway
Roseland, NJ 07068
Tax ID: 22-2745263
All Funds must be Network Level 3 (B50 needed)

OPTIONS

OCC #792 (Broadcort)
Reference TradeUP Securities Account # in "Optional Data Section"