Account Transfer Form

Use this form to transfer assets held at another institution to your client's Goldman Sachs Custody Solutions account only if you are unable to setup this transfer and get your client's approval online (e.g., an ACAT of a 401(k) plan account and or a client's physical signature).

Instructions

1. Complete and have your clients sign this form.
2. Attach your client's most recent account statement for all Non-ACAT transfers (Liquidation and asset in-kind)
3. Provide this completed form as a PDF to us by using the Secure Upload function on our advisor site.

Important Notes

- You must submit a separate Account Transfer Form for every account you want to transfer.
- All fields are required unless otherwise marked.
- Pending trades and other activity in your client's account may delay this transfer until all such actions have settled.
- The name and type of account you are transferring should match the name and type of account your client maintains with us. If the name and type of account your client wishes to transfer do not match, please see the Guidelines section at the end of this form for more information and additional documentation requirements.
- Alternative investments can only be transferred to us through the Alternative Investments pages in the online Trade Center on our advisor site. Please do not submit account transfers containing alternative investments.
- Some assets, such as proprietary mutual funds, money market funds, foreign securities, unit investment trusts, CDs, limited partnerships and certain other private securities cannot be transferred directly to us.
- Because we do not custody these types of assets, you may request a partial transfer now that does not include these assets or sell these assets at the firm where they are currently held so that the cash proceeds can be transferred to us as part of a full transfer after those sales have settled. Because selling these investments may impact your client's taxes, we suggest you consult with a taxprofessional.

PART 1: Information About Your GSCS Account

Advisor Information
Advisor Username (Only required if transfer includes alternative securities)

Account Information	Account Number	Account Registration
Name	Account Owner Individual or Entity Name	Co-Account Owner Individual or Entity Authorized Representative Name
Social Security Number/Tax ID	Account Owner Individual or Entity Tax ID Number	Co-Account Owner Individual or Entity Authorized Representative SSN

PART 2: Information About the Account You Are Transferring

Account Number	
Account Registration	If this does not match the account registration above, you must provide a Letter of Authorization or other supporting documentation.
Financial Institution	Name

ACCOUNT TYPE

Personal	Retirement	Employer Sponsored*	Business	Other
○ Individual ○ Joint ○ UTMA/Custodial	○ Traditional IRA ○ Roth IRA 5 year aging year: ○ IRA Rollover ○ SEP IRA ○ SIMPLE ○ Inherited IRA ○ Inherited Roth IRA ○ Entity Owned Inherited Traditional IRA ○ Entity Owned Inherited Roth IRA ○ Minor Owned Traditional IRA ○ Minor Owned Roth IRA	○ 401(k) ○ Qualified Plan	○ Corporation ○ Sole Proprietorship ○ LLC ○ Limited Partnership ○ Unincorporated Organization	○ Revocable Trust ○ Business Trust ○ Other:

* Attach an employer plan distribution form when transferring employer-sponsored accounts. The plan administrator should be able to provide you with the distribution form.

Custody, clearing and certain brokerage services are offered by Folio Investments, Inc., d/b/a Goldman Sachs Custody Solutions ("GSCS"), an SEC-registered broker-dealer and Member FINRA/MSRB/SIPC.

PART 3: Account Transfer Instructions

OPTION 1 : FULL TRANSFER

- ◯ Transfer all Assets and Cash in Kind (All Annuities & Life Insurance Contracts Will be Transferred as Cash)
- ◯ Liquidate all assets and transfer as cash (Non-ACAT Transfers only. If this option is selected for an ACAT eligible firm, the transfer will be processed as an in-kind transfer).

OPTION 2 : PARTIAL TRANSFER

- ◯ Transfer only the cash & securities listed below:

NOTE: If the number of securities being transferred exceed the spaces available below, please include an Excel/CSV with the tickers being transferred and the associated share quantities.

Cash

Amount or "All"

Securities

Description of Securities (Including Stock Symbol)	Number of Shares or "All"	Transfer Shares to My GSCS Account	Liquidate
		◯ OR	◯
		◯ OR	◯
		◯ OR	◯
		◯ OR	◯
		◯ OR	◯
		◯ OR	◯
		◯ OR	◯
		◯ OR	◯
		◯ OR	◯
		◯ OR	◯
		◯ OR	◯
		◯ OR	◯

PART 4: Authorization and Signature

Instructions for Transferring Firm

When Transfer the Entire Account is selected in Part 3, please transfer all securities in kind; transfer all cash; liquidate and transfer as cash all money market funds, fractional shares and bonds; immobilize and transfer as book entry any public securities in certificate form or if not transferable then liquidate and transfer them as cash.

Owner Authorization & Agreement

To the financial institution I have listed as the current holder of my account; I instruct you to transfer assets to Goldman Sachs Custody Solutions in accordance with my transfer instructions. I authorize you to deduct any outstanding fees due 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 you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy that obligation.

Additional Full Account Transfer Agreement

I authorize you to liquidate assets such as proprietary money market funds and fractional shares that cannot be transferred between financial institutions that are part of my account in accordance with my transfer instructions and transfer the resulting credit balance. I understand that upon receiving a copy of these transfer instructions, you will cancel all open orders for my account on your books. 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 am aware that if I sell any investments in the account after submitting this request that the cash proceeds may not accrue interest while the sale is being processed. If certificates or any other instruments in my account are in your physical possession, for registered, U.S. exchange traded equity securities, I instruct you to immobilize the certificates and put them into book entry form, and then transfer them. If they cannot be put into book entry form then they will be considered non-transferable assets and I instruct you to liquidate them. If they cannot be liquidated then you should send the certificates to me at my address of record. For domestic U.S. equity securities that are not registered securities, such as interests in limited partnerships or shares of securities that have not yet been registered for sale, I instruct you to mail the evidence of ownership you hold on my behalf to me at my address of record.

Letter of Authorization (LOA) for Joint Account Transfers

If this is a joint account transfer, we acknowledge, agree and authorize the account described here be transferred to the Goldman Sachs Custody Solutions account described here, as specified in this document.

Age 73 Restrictions

If this is a retirement account transfer and I am over age 73, I attest that I have met or will meet the required minimum distribution requirement for the current year.

By signing below, I (we) agree to the terms and conditions.

Attach a copy of your most recent statement and any other required documentation for the account you are transferring.

Account Owner/ Custodian/Trustee Name	X	Date (mm/dd/yyyy) / /
Co-Account Owner/ Custodian/Trustee Name	X	Date (mm/dd/yyyy) / /
Co-Account Owner/ Custodian/Trustee Name	X	Date (mm/dd/yyyy) / /
Co-Account Owner/ Custodian/Trustee Name	X	Date (mm/dd/yyyy) / /

All account owners must sign this document to authorize a transfer. Signatures over 90 days old upon receipt of this form will be rejected.

Medallion Signature Guarantee Program

GSCS USE ONLY	
RECEIVINGFIRM: GOLDMANSACHS CUSTODY SOLUTIONS CLEARING NO.: 0728	
Successor Custodian Signature	Date (mm/dd/yyyy) / /

Guidelines for Transfers Between Accounts

Review these carefully, as transfers between accounts that are not of the same type or the same registration may have significant tax consequences, may require special compliance review and approval, or may even be prohibited.

Transfers Between Taxable Individual and Joint Accounts

- You may transfer cash and securities between your individual taxable account at another firm and your individual account here with the same name and social security number(SSN).
- You may transfer cash and securities between your joint account at another firm and your joint account here with the same names and SSNs.
- You may transfer cash and securities between your joint account at another firm and your individual account here if the same name and SSN appears on both accounts and all account owners sign this form.
- You may transfer cash and securities from your individual taxable account at another firm to your joint account here on which your name and SSN appear.
- You may transfer cash and securities from your individual taxable account at another firm to your custodial account here if you created the custodial account.
- You may transfer cash and securities from your revocable trust account on which your name and SSN appear at another firm to your individual account here. For irrevocable trusts, we require the signatures of all trustees.

Transfers Between Non-Taxable Accounts

- You may transfer cash and securities from one non-taxable account to another if the names and social security numbers are the same on both accounts and it is allowed under the guidelines below:

Account Transferring From	Account Can Transfer To
Roth IRA	Roth
Traditional IRA	Traditional, SEP, Qualified Plan*
SIMPLE IRA	Traditional, SIMPLE, SEP, Qualified Plan*
SEP IRA	Traditional, SEP, Qualified Plan*
457(b)	Traditional, SEP, Qualified Plan*
Qualified Plan	Traditional, SEP, Qualified Plan*
403(b)	Traditional, SEP, Qualified Plan*
Designated Roth IRA	Roth

* Requires distribution plan from plan administrator.

Transfers Between Corporate Accounts

- You may transfer cash and securities from one account to another if the entity name and tax identification number (SSN or TIN) match between the account held at another firm and the account there.