

Taxable Securities Gifting Form

Use this form to make a gift of securities from a taxable account held by us to an individual or an entity, as a Transfer in Kind.

Considerations

1. Complete one form per recipient. Provide additional forms for additional recipients, or for more securities than can be listed below.
2. A Transfer in Kind occurs when you move securities to a different financial institution.
3. Provide this completed form to us as a PDF by using the Secure Upload function on our advisor site.
4. All fields are required unless otherwise marked.
5. Signatures that are over 30 days old when we receive this form cannot be accepted.
6. DO NOT USE THIS FORM for transfers between accounts held by us. Enter these requests on our advisor site or use the Internal Transfer Form for transactions that cannot be entered online.
7. DO NOT USE THIS FORM for distributions from IRA accounts. Enter these requests on our advisor site or use the IRA Distribution Form for transactions that cannot be entered online.
8. Gifting requests may require phone verification. If the client or advisor cannot be reached via phone call, the transfer request may be canceled.
9. The total of all securities being transferred must be over \$500 to be processed.
10. If you did not submit a document outlining your authority to perform a transaction on this account as part of the account opening process, we will require it prior to instructing us to gift shares.

Sending Account Information			
Account Number		Account Type	Account Name
Account Owner First Name	Account Owner Middle Name	Account Owner Last Name	SSN/TIN
Joint Account Owner First Name	Joint Account Owner Middle Name	Joint Account Owner Last Name	SSN/TIN

Gift Information				
NOTE: We will default to transferring shares from the 02 sub-account (Non-folio Holding). The request will not be processed if there are fewer shares in the account's 02 sub-account (Non-folio Holding) than specified. Otherwise, please specify the sub-account to be used. Please call us with any questions regarding this note.				
Security Name	Security Symbol/ Ticker/ CUSIP	Quantity (Whole shares)	Tax Lot Strategy (Optional - Max Gain/Min Loss, FIFO, LIFO, etc. If you would like to select specific tax lots, please attach an outline with the specific lots you wish to deliver.	Sub-Account Number (Optional)

Receiving Account Information	
Custodian Name	Custodian DTC Number
Account Number	Account Type*
Account Registration	SSN/TIN*
Relationship to Recipient:*	
Parent	Spouse
Child	Lender
Relative	Custodian
Trustee	Beneficiary
Dependent for Tax Purposes	Charitable Organization
Other (Please Specify):	

*Non mandatory: Please note, not providing this information increases the risk of the receiving firm rejecting the transfer.

Authorization(s):

All account owners and co-owners must sign this Authorization. If you have POA over an account, you must attach the POA designation document to this document.

Account Owner Signature X	Date (mm/dd/yyyy) / /
Joint Account Owner Signature (required if exists) X	Date (mm/dd/yyyy) / /
Authorized Signatory/POA Signature (only clients permissioned onto the account) X	Date (mm/dd/yyyy) / /