Scottrade

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ACCOUNT TRANSFER FORM
帳戶轉移表

SCOTTRADE ACCOUNT INFORMATION 史考特帳戶資料	
NAME AS IT APPEARS ON YOUR ACCOUNT 您的帳戶所顯示的名稱	
YOUR SCOTTRADE ACCOUNT NUMBER 您史考特的帳戶號碼	
SOCIAL SECURITY OR TAX ID NUMBER 社會安全號碼或稅號	JOINT SOCIAL SECURITY OR TAX ID NUMBER(IF APPLICABLE)共同帳戶持有人的社會安全號碼或稅號

INFORMATION ABOUT THE ACCOUNT YOU ARE TRANSFERRING 您要轉移帳戶的資料		
ACCOUNT NAME AS IT APPEARS ON YOUR MOST RECENT STATEMENT 在您最近月結單上顯示的帳戶名稱		ACCOUNT NUMBER 帳戶號碼
NAME OF FIRM FROM WHICH YOU ARE TRANSFERRING 您要轉移帳戶的券商名稱		TELEPHONE NUMBER OF FIRM FROM WHICH YOU ARE TRANSFERRING 您轉移帳戶的券商電話號碼
MAILING ADDRESS OF FIRM FROM WHICH YOU ARE TRANSFERRING 您要轉移帳戶的券商的通訊地址		CITY 城市
STATE/PROVINCE 州/省	ZIP/POSTAL CODE 郵政區碼	COUNTRY 國家

PLEASE COMPLETE ONE OF THE FOLLOWING SECTIONS(A,B,C,OR D):請填寫以下項目之一：

A. ASSETS TO TRANSFER 轉移的資產

☐ This is a Full Transfer 全部資產轉移

☐ This is a Partial Transfer from a brokerage account – only transfer the assets listed below.(Attach additional signed pages if needed)
部分資產的轉移-只轉移下列資產。(如果需要請附加額外的簽名張頁)

If transferring cash, specify dollar amount $_____________________. If transferring a debit, specify dollar amount $ ______________________

如果轉移現金，註明金額 $ ______________________.如果轉移負額結餘，註明金額 $ _______________________

Stock Symbol or CUSIP Number 股票代號或代碼	Number of Whole Shares 整股數目	Stock Symbol or CUSIP Number 股票代號或代碼	Number of Whole Shares 整股數目

B. MUTUAL FUND COMPANY TRANFER 共同基金公司轉移

You may choose to **either transfer or liquidate** your shares. Money market funds must be liquidated and transferred as cash. **You must complete a separate transfer form for each mutual fund company from which you are transferring.** 您可以選擇**轉移或者結清**您的股份。現金市場基金必須要結清後以現金的方式轉移。**每個您要轉移的基金公司必須填寫單獨的表格。** Please indicate the current dividend/gain options on each mutual fund. This information will not alter the dividend/gain options on pre-existing Scottrade mutual fund assets. If no box is marked, we will default to reinvest.請指出每個共同基金的股息/資本利得的處理方式。這個資料將不會改變您已有的史考特帳戶中的共同基金資產的股息/資本利得的處理方式。如果在方格中沒有指明，我們則會選擇重新投資

FUND COMPANY NAME 基金公司名稱						
ACCOUNT NUMBER/FUND NUMBER 帳戶號碼/基金號碼			FUND NAME 基金名稱			
Transfer in Kind **轉移** *Check one* 選擇一項	☐ All shares 轉移所有股份 ☐ only ____________ shares 只轉移___________數目的股份	Instructions for dividend/capital gains: 股息/資本利得處理指示	☐ Reinvest 股息再投資 ☐ Pay in cash 股息以現金支出	**OR 或者**	**Liquidate** **結清** *Check one* 選擇一項	☐ All Shares 所有股份 ☐ Only this cash value_________ 只此金額的股份___________

FUND COMPANY NAME 基金公司名稱						
ACCOUNT NUMBER/FUND NUMBER 帳戶號碼/基金號碼			FUND NAME 基金名稱			
Transfer in Kind **轉移** *Check one* 選擇一項	☐ All shares 轉移所有股份 ☐ only ____________ shares 只轉移___________數目的股份	Instructions for dividend/capital gains: 股息/資本利得處理指示	☐ Reinvest 股息再投資 ☐ Pay in cash 股息以現金支出	**OR 或者**	**Liquidate** **結清** *Check one* 選擇一項	☐ All Shares 所有股份 ☐ Only this cash value_________ 只此金額的股份___________

FUND COMPANY NAME 基金公司名稱						
ACCOUNT NUMBER/FUND NUMBER 帳戶號碼/基金號碼			FUND NAME 基金名稱			
Transfer in Kind **轉移** *Check one* 選擇一項	☐ All shares 轉移所有股份 ☐ only ____________ shares 只轉移___________數目的股份	Instructions for dividend/capital gains: 股息/資本利得處理指示	☐ Reinvest 股息再投資 ☐ Pay in cash 股息以現金支出	**OR 或者**	**Liquidate** **結清** *Check one* 選擇一項	☐ All Shares 所有股份 ☐ Only this cash value_________ 只此金額的股份___________

FUND COMPANY NAME 基金公司名稱						
ACCOUNT NUMBER/FUND NUMBER 帳戶號碼/基金號碼			FUND NAME 基金名稱			
Transfer in Kind **轉移** *Check one* 選擇一項	☐ All shares 轉移所有股份 ☐ only ____________ shares 只轉移___________數目的股份	Instructions for dividend/capital gains: 股息/資本利得處理指示	☐ Reinvest 股息再投資 ☐ Pay in cash 股息以現金支出	**OR 或者**	**Liquidate** **結清** *Check one* 選擇一項	☐ All Shares 所有股份 ☐ Only this cash value_________ 只此金額的股份___________

Scottrade clearing#: 0705

CONTINUE 請繼續

C. BANK OR CREDIT UNION TRANSFER (Select the appropriate option)銀行或信用社轉移（選擇適當的項目）

☐ TRANSFER ONLY CASH All $ ________________________OR Partial $ __________________

只轉移所有現金 $ ____________________或者或部分現金 $ _______________

☐ LIQUIDATE CD IMMEDIATELY AND TRANSFER CASH I am aware of and acknowledge penalty I will incur from an early withdrawal.
立即結清定存(CD)將現金轉移。我意識到並了解提前支取將會產生罰金。

☐ LIQUIDATE CD AT MATURITY AND TRANSFER CASH(submit 2-3 weeks before maturity date): _______/_______/_______

在定存(CD)到期結清並轉移現金（請在到期前 2-3 週提交表格）_______/_______/_______

D. ANNUITIES(IRA or Qualified Plans only)年金（僅限於退休帳戶或合格退休計劃）

☐ LIQUIDATE ANNUITY (I am aware there may be a surrender charge) All $ _________________ OR Partial $ __________________

結清年金（我了解可能會有年金解約收費） 所有金額$ ___________________或者部分金額$ ____________________

DIRECT ROLLOVER FROM A QUALIFIED PLAN – If Applicable 從合格退休計劃的直接滾存 – 如果適用

☐ DIRECT ROLLOVER Due to the important tax consequences of rolling over funds or property to an IRA, I am aware that I should consult a tax professional. I understand the rollover rules and I am eligible to conduct this transaction. No part of this rollover contains required minimum distribution amounts. I assume full responsibility for this rollover transaction and will not hold Scottrade, Inc. or its employees liable for any adverse consequences that my result. By signing this Account Transfer form I hereby irrevocably designate this contribution as a rollover contribution. 直接滾存 由於將資金或財產滾存到退休帳戶會產生嚴重的稅務後果，我意識到我應當咨詢稅務專業顧問。我明白滾存的規定並合乎進行這個交易的要求。在此滾存資金中沒有包含任何最低要求分配的數額。我承擔由此滾存的一切責任，不會讓史考特或其雇員承擔由此造成的任何不良責任。通過簽署此帳戶轉移表，我在此不可撤銷地指定此存款為滾存存款。

LETTER OF AUTHORIZATION TO TRANSFER (If Applicable) 轉移授權書(若適用)

Discrepancies of Account Name and Title (REQUIRED, if the account name and/or title you are transferring does not match Scottrade account title.)
帳戶姓名和名稱不相符（必須填，如果您要轉移的帳戶姓名和/或名稱與史考特的帳戶名稱不相符合。

I/we hereby authorize the transfer of my/our account being held at the firm listed on page 1 of this transfer form registered as:
我/我們在此授權將我的/我們的在第一頁裡所列公司的以下列名稱註冊的帳戶轉移：

____

Signature(s) Required 必須簽名

X______________________________________ ACCOUNT HOLDER SIGNATURE 帳戶持有人簽名 ______________________ DATE 日期

X______________________________________ JOINT ACCOUNT HOLDER SIGNATURE 共同帳戶持有人簽名 ______________________ DATE 日期

X______________________________________ JOINT ACCOUNT HOLDER SIGNATURE 共同帳戶持有人簽名 ______________________ DATE 日期

If this account is an Individual Retirement Account, I have amended the applicable plan so it names Scottrade as successor custodian. Unless otherwise indicated above, please transfer all assets in my account to Scottrade. I understand 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 or any similar rule of the FINRA or any other designated examining authority. Unless otherwise indicated in the instructions above, I authorize you to liquidate any non transferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to Scottrade. I authorize you to deduct any outstanding fee 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. If certificates or other investments in my account are in your physical 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 delivering a copy of the transfer instructions, I am responsible for canceling all open orders for my account at the delivering firm, with respect to the securities being transferred. I affirm that I have destroyed or returned any credit/debit cards and/or unused checks issued to me in connection with my account at the delivering firm. I understand that by transferring my mutual fund(s) to Scottrade, all future correspondence concerning my mutual fund position(s) must be directed to Scottrade. Furthermore, I acknowledge that while my fund position(s) are being held in street name with Scottrade, I will not be able to have direct communication with the fund company concerning my account. Therefore I authorize you to release any information relevant to this transfer to Scottrade.如果此帳戶為個人退休帳戶，我已經對相應的計劃加以修訂，從而史考特被命名為繼承監管人。除非在上面另有指示，請將我帳戶中所有資產轉入史考特。我明白我帳戶中的任何資產，無論是否有罰金都無法馬上轉移，此類資產轉移可能不會在由紐約證交所條例 412 所規定的時間範圍，或 FINRA 或其它指定監督機構所規定的時間範圍內完成。除非在以上另有指示，我授權您結清在我帳戶的任何無法轉移的專有的現金市場基金部分並將所產生的現金餘額轉入史考特。我授權你在我帳戶的現金結餘中扣除任何所欠你的費用。如果我的帳戶中沒有現金餘額，或帳戶中的餘額不足以滿足我所欠您的費用，我授權給您清算我帳戶足夠的資產來付清此筆費用。如果您擁有在我帳戶中的憑證或其它投資，我指示您以良好的可提交的形式轉移，包括附加任何稅務免除通知，從而使繼承監管人能夠在我的指示下，以它的名義為銷售目的來轉移。我明白在提交轉移指示的文本時，我有責任取消在轉出公司我帳戶中的那些要轉移證券的尚未成交定單。我確定我已經銷毀或退還了我在轉出公司帳戶的任何信用卡/提款卡和/或還沒有用過的支票。我明白將共同基金轉入史考特，今後所有針對我共同基金庫存的信函必須向史考特提交。另外，我了解我的基金庫存以街名的形式存放在史考特，我將不能針對我的帳戶直接和基金公司聯絡。所以我授權給您向史考特提供任何與帳戶轉移事宜相關的資料。

PLEASE SIGN THIS SECTION. PLEASE RETURN COMPLETED FORM TO YOUR LOCAL SCOTTRADE BRANCH OFFICE
請在此部分簽字。將填妥的表格交回您當地的史考特分行。

- **REMINDER – A copy of your most recent account statement (all pages) MUST be attached.提示- 您必須附上一份您最近的帳戶月結單（全部頁數）的影本。**

X______________________________________ ______________________
ACCOUNT HOLDER SIGNATURE 帳戶持有人簽名 DATE 日期

X______________________________________ ______________________
JOINT ACCOUNT HOLDER SIGNATURE 共同帳戶持有人簽名 DATE 日期

X______________________________________ ______________________
JOINT ACCOUNT HOLDER SIGNATURE 共同帳戶持有人簽名 DATE 日期

Medallion Signature Guarantee (For Scottrade Use Only)

Medallion Signature Guarantee (For Scottrade Use Only)

FOR SCOTTRADE USE ONLY 史考特內部專用 *(Home Office Completes)*

☐ Single ☐ Joint ☐ Trust ☐Keogh/QP ☐ IRA ☐ Roth IRA ☐ Coverdell ESA ☐ Other ___________________________

LETTER OF ACCEPTANCE (For IRAs and qualified plans)
Please be advised that Scottrade will accept the above accounts as successor custodian trustee

______________________ Authorized Signature ______________________ Date ______________________ Date of trust

Delivery Agents: Refer to page 3 for delivery instructions

Frequently Asked Questions on Transfers 帳戶轉移常見問答

How long will the transfer take?多久才能將帳戶轉移？

Full brokerage account transfers are sent via ACATS(Automated Account Transfer Service) and take approximately 7-10 business days. Any residual balance that remain with the delivering brokerage firm after your transfer is completed should follow 7-10 additional business days. Transfers that are not eligible to be entered on the ACATS system take at least 4 weeks to be completed upon receipt of al necessary paperwork.

通過 ACTAS（自動帳戶轉移服務）系統的全部經紀帳戶轉移大概需要 7-10 個工作日。在轉移後在轉出公司的任何剩餘結餘將會再需要 7-10 個工作日。不可以在 ACATS 系統輸入的轉移在收到所有的文件後，至少需要 4 個星期來完成。

Will there be any transfer fees?是否有轉移費用？

Upon receiving your transfer request, your previous institution may charge a fee that they will transfer to your Scottrade account as a debit and you are responsible for any fees transferred. Scottrade may charge you a fee for some foreign securities.

在收到您的轉移要求，您以前的公司可能會收取費用並會將此費用以負額結餘轉入史考特，您將對轉入的費用負責。史考特可能會對某些外國證券收取費用。

What about Mutual Fund transfers?共同基金的轉移？

There are some mutual fund companies with whom Scottrade has not established an agreement to hold a particular mutual fund. You will have to contact the prior firm to have these funds liquidated. Some financial firms issue their own (Proprietary) mutual funds and these mutual funds cannot be transferred to Scottrade. You may, at your choosing, contact the prior firm and liquidate these funds. There may be charges and expensed associated with liquidation. You should review the fund's prospectus for more information.史考特還沒有和某些共同基金公司達成協議來持有某個特別的共同基金。您需要聯係以前的公司將這些基金結清。有些金融機構發行它們自己（專有）基金，這些共同基金是不能轉入史考特的。您可以選擇聯係以前的公司將這些基金結清。結清這些基金可能會牽涉到收費和費用。您應當查閱基金的公開說明署得到更詳細的資料。

What about Limited Partnerships?有限合夥人證券轉移？

Scottrade can only transfer NYSE traded LPs. For all other LPs, please contact your previous firm to either liquidate so proceeds will transfer or have a certificate sent to you.
史考特只能轉移在紐約證交所交易的 LPs,至於其它所有的 LPs,請聯係您以前的公司要麼將其結清將賣出所得轉入或者將其憑證郵寄給您。

What about Annuity transfers?年金轉移？

We can only request liquidation for qualified accounts. Contact your existing insurer to see if they will need any additional documentation, such as original annuity contract. Also, please be aware that there may be a surrender charge involved with liquidating the annuity.

我們只能對合格計劃的帳戶要求結清。聯係您現在的保險公司看看他們是否需要任何額外的文件，例如原始的年金合同。另外，請了解在結清年金時會有解約收費。

For Delivering Organization's Use Only

Receiving Firm Information

Scottrade
12800 Corporate Hill Dr 5th Floor
P.O. Box 31759
St. Louis, MO 63131-0759

Delivering firms **Any questions regarding this form should be directed to:**

Scottrade ACAT Department. (314) 965-1555

Scottrade customers: Please contact your local Scottrade office for assistance.

Delivery Instructions (All deliveries MUST include the client name and Scottrade Account #.)

All DTC eligible securities	DTC # 0705 FBO Client's Name and Scottrade Account Number
Treasury Securities	Federal Reserve Bank-Cleveland US Bank, N.A./1020 ABA# 042000013 For:Scottrade, Inc. Acct: 348000097
Government Agency Securities	Federal Reserve Bank-Cleveland US Bank, N.A./1020 ABA# 042000013 For:Scottrade, Inc. Acct: 385000034
Fed wired monies	US Bank St. Louis, MO A/C#: 1001086162 ABA#: 081000210 FBO Client's Name and Scottrade Account Number
Checks-Cash/Margin Account	Scottrade ATTN.: ACAT Dept. 12800 Corporate Hill Dr 5th Floor P.O. Box 31759 St. Louis, MO 63131-0759 FBO Client's Name and Scottrade Account Number
Checks-IRA Accounts	Scottrade ATTN.: IRA Dept. 12800 Corporate Hill Dr 5th Floor P.O. Box 31759 St. Louis, MO 63131-0759 FBO Client's Name and Scottrade Account Number
Mutual Fund Registration Cash/Margin Account	Scottrade FBO Client's Name and Scottrade Account Number
Mutual Fund Registration IRA Accounts	Scottrade C/F Client's Name and Scottrade Account Number
Foreign Securities	Natixis Bleichroeder Inc. FBO Scottrade, Inc. Please call Scottrade's Stock Record Department at 1-800-888-1980 to establish trade and settlement dates.