529 Plan Account Transfer Form

STEP 1. RECEIVING FIRM INFORMATION

Receiving Firm Clearing Number	Introducing Firm
0443	
Account Number	**Primary Account Holder SSN/Tax ID**
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ONLY ONE RECEIVING FIRM PER FORM.

STEP 2. DELIVERING ACCOUNT INFORMATION

Fund Name	Account Title (as it appears on your statement)

STEP 3. TRANSFER INSTRUCTIONS

If your 529 Plan account is not registered to your current broker-dealer, this transfer cannot be completed. Prior to completing this form, please be sure to contact the program manager to request a broker-dealer change on your existing 529 Plan.

ONLY ONE 529 PLAN PROVIDER PER FORM.

☐ Transfer in kind all 529 Plan accounts listed below that are held directly with the program manager.

QUANTITY	ASSET DESCRIPTION	CUSIP/SYMBOL	ACCOUNT NUMBER

STEP 4. ACCOUNT OWNER SIGNATURE AND CERTIFICATION

To the Delivering Firm Named Above: Please transfer all assets in my account to Pershing LLC without penalties. Such assets may be transferred within the time frames required by the Financial Industry Regulatory Authority (FINRA) Rule 11870 or similar rule of any other designated examining authority. 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 instruments 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 the sale, when, and as directed to me.

I understand that upon receiving a copy of this transfer information, you will cancel all open orders for my account on your books.

BY SIGNING BELOW I AUTHORIZE THE TRANSFER OF ALL 529 PLAN ACCOUNT SECURITIES, INCLUDING EXCHANGES AND RECENTLY PURCHASED POSITIONS THAT MAY NOT BE LISTED ABOVE, AND ALL RELATED HISTORICAL 529 PLAN ACCOUNT INFORMATION OF SUCH POSITIONS, FROM MY ACCOUNTS HELD DIRECTLY WITH THE PROGRAM MANAGER TO A 529 PLAN BROKERAGE ACCOUNT AT PERSHING LLC.

Account Owner Print Name	Date
	— —
Signature	
X	

PLEASE ATTACH YOUR MOST RECENT 529 PLAN ACCOUNT STATEMENT TO PROCESS THIS ACCOUNT TRANSFER.

FOR OFFICE USE ONLY: ALL TRANSFERS MUST BE ADDED TO PERSHING'S TRANSFER SYSTEMS.

SIGNATURE GUARANTEED BY (FOR INTERNAL USE ONLY)