



## 4. MUTUAL FUND TRANSFER

This Section is for transferring Mutual Funds specifically held at a Mutual Fund company. Please attach a copy of your statement to verify the information provided. You may also use this section if you wish to transfer or liquidate Bank CDs or Annuities.

Name of Investment	# of Shares or \$ Amount	Liquidate or Re-register at StockCross	Cash or Reinvest
		<input type="checkbox"/> Liquidate <input type="checkbox"/> Re-register	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
		<input type="checkbox"/> Liquidate <input type="checkbox"/> Re-register	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
		<input type="checkbox"/> Liquidate <input type="checkbox"/> Re-register	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
		<input type="checkbox"/> Liquidate <input type="checkbox"/> Re-register	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
		<input type="checkbox"/> Liquidate <input type="checkbox"/> Re-register	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
		<input type="checkbox"/> Liquidate <input type="checkbox"/> Re-register	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest

## 5. REGISTRATION CHANGE

If the current registration information (Social Security/Tax ID#, Account Title, Account Type etc.) on the account you are transferring is different than your current StockCross account. Please read and sign the following:

"I/We authorize StockCross Financial Services, Inc. to transfer the account and its assets listed in Section 1 of the StockCross Account Transfer Form into the New Account established at StockCross in Section 2 of the StockCross Account Transfer Form."

Signature X	Date	Signature X	Date
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Signature X	Date	Signature X	Date
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## 6. TRANSFER AGREEMENT SIGNATURES

Please transfer the securities as listed, either partially or in their entirety from the current carrying firm to StockCross Financial Services, Inc. StockCross is authorized by me to make payment to the carrying firm of the debit balance or to receive payment of the credit balance in my securities account. I understand that to the extent any assets in my securities account are not readily transferable, with or without penalties; such assets may not be transferred within the time frames required by New York Stock Exchange Rule 412 or similar rule of the Financial Industry Regulatory Authority or other designated examining authority. Unless otherwise indicated in the instruction below, I authorize the carrying firm to liquidate any proprietary money market fund assets that are part of my securities account and transfer the resulting credit balance to StockCross. I understand that the current carrying firm will contact me with respect to the disposition of any other assets in my securities account that are non-transferable. If certificates or other instruments in my securities account are in the carrying firm's physical possession, I instruct them to transfer the securities in good deliverable form including affixing any necessary tax waivers, to enable StockCross to transfer them in its name for the purpose of sale, when and as directed by me. I further instruct the carrying firm to cancel all open orders for my securities account on your books. For retirement accounts or if you are age 70 1/2 or older in the calendar year (or are a spouse-beneficiary of such individual), you may be required to resolve the minimum distribution from the transferring/distributing plan. Therefore, you may only transfer or roll over amounts other than the required minimum distribution. Please contact your tax advisor and current Trustee regarding payment of the minimum distribution.

Signature X	Date	Signature X	Date
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<p>Receiving Firm: StockCross Financial Services, Inc. 9464 Wilshire Boulevard Beverly Hills, CA 90212</p> <p>Tax Identification: 04-2523566</p> <p>Wiring Instructions: Harris Trust and Savings Bank 111 West Monroe St. Chicago, IL 60690 ABA# 071000288 StockCross Account#4184933 FBO Your Name &amp; Account Number</p>
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