Fenix SECURITIES

ACCOUNT TRANSFER FORM (ACAT)

Account Number:					—				

This form is used to transfer an account between brokerage firms. Sections 1 through 3 are required. A complete copy of your most recent statement from the Delivering account must accompany this form (dated within 60 days) for the transfer to be processed. Submit this completed form to your Introducing Broker Dealer. (Detailed instructions provided on page 3).

SECTION 1: Account information

The registration and SSN of both accounts must match. SSN or Tax ID

RECEIVING Account Information	
Clearing Number: **DTCC – 0052**	**OCC - 0052**
Account Number:	
Account Title:	
Account Type: ☐ Individual ☐ Corporate/Business ☐ Joint	
Receiving Firm Name: COR CLEARING LLC	
Receiving Firm Address: 1200 Landmark Center Ste. 800	
Receiving Firm City, State, ZIP: Omaha NE 68102-1916	
Receiving Firm PH #: 402-384-6100	

DELIVERING Account Information
Clearing Number:
Account Number:
Account Title:
Account Type: ☐ Individual ☐ Corporate/Business ☐ Joint
Delivering Firm Name:
Delivering Firm Address:
Delivering Firm City, State, ZIP:
Delivering Firm PH #:

SECTION 2: Transfer instructions - Complete only one of the following sections (A, B, C, D, or E)

The registration and SSN of both accounts must match.

A. Brokerage account transfer

☐ FULL ACCOUNT TRANSFER OR ☐ PARTIAL ACCOUNT TRANSFER (list assets below, attach additional signed pages if needed)

	Description	Symbol/CUSIP	Share Quantity		Description	Symbol/CUSIP	Share Quantity
1.				5.			
2.				6.			
3.				7.			
4.				8.			

B. Mutual fund company transfer in kind / liquidations

- You must indicate transfer or liquidation for each fund (money market funds must be liquidated and transferred as cash).
- For Transfers In Kind, please mark a dividend/capital gain option (if no selection is made, the default will be reinvest).
- Attach additional signed pages if needed

Fund Name/Share Class	Fund Account Number	Symbol	Quantity	Mutual Funds Only			
			indicate # or all	Liquidate	In kind	Reinvest	Pay in cash

C. Bank or credit union transfer – for retirement accounts only

☐ Transfer all Cash $ ☐ Liquidate CD immediately and transfer cash (penalties may apply)

☐ Transfer Partial Cash $ ☐ Liquidate CD at maturity and transfer cash. Maturity Date

D. Annuity liquidation

☐ Full Liquidation (Surrender Charges may apply) ☐ Partial Liquidation $

E. Transfer agent

☐ Transfer all of my WHOLE shares and liquidate any fractional shares

☐ Transfer only PART of the assets listed below

DESCRIPTION	SYMBOL/CUSIP	SHARE AMOUNT

Fenix SECURITIES

ACCOUNT TRANSFER FORM (ACAT)

Account Number:					—				

SECTION 3: Account holder authorization

To Delivering Firm: Unless otherwise indicated above, please transfer all assets in my account to COR Clearing, LLC ("COR"). I understand that to the extent any assets in my 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 FINRA or other designated examining authority. Unless otherwise indicated above, I authorize you to liquidate any nontransferable proprietary money market funds assets that are part of my account, and transfer the resulting credit balance to the successor custodian. I understand that you will contact me with respect to the disposition of any other assets that are part of my account that are nontransferable or which cannot be held at COR. 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. 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 sale, when and as directed by me. I understand that upon receiving a copy of this transfer instruction, you will cancel all open orders for my account on your books. I affirm that I have destroyed or returned to you all credit/debit cards and/or unused checks issued to me in connection with my securities account. I understand that by transferring my mutual funds to COR, all future correspondence concerning my mutual fund positions must be directed to COR. Furthermore, I acknowledge that while my fund positions are being held in street name with COR, 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 COR.

For Retirement Accounts: If this transfer is for a qualified retirement account, I have amended the applicable plan so that it names COR as successor custodian. Alternatively, if this transfer is for an Individual Retirement Account ("IRA"), I have adopted an IRA plan so that it names the successor custodian. If I am transferring an IRA and the IRA type indicated on my statement is different from the IRA I maintain at COR (e.g., Traditional IRA vs. Rollover IRA), I hereby authorize COR to commingle my IRA assets.

Fees: If the assets I am transferring are considered nonstandard assets at COR, I understand that I will be charged set-up and maintenance fees. I understand that fractional shares of stock are nontransferable, and I agree that any fractional shares will be liquidated by the delivering firm upon the transfer of the whole shares. The delivering firm may or may not charge a fee for this liquidation. I understand that the delivering firm may or may not assess account fees for the transfer and/or termination of my account with them.

Mutual Fund Dividends and Capital Gains: I understand that my delivering broker may provide COR with mutual fund dividends and capital gains distribution instructions for each mutual fund position so that COR may implement these instructions. In the event that the instructions are not provided by the delivering broker or the dividend and/or capital gains distribution option requested is not available at COR, the instructions will default to reinvest (unless reinvestment is not available, in which case dividends and capital gains will be paid in cash and subject to any applicable taxes).

SIGNATURES – All account holders must sign below		
Account Holder Signature ✗	Print Name	Date
Account Holder Signature ✗	Print Name	Date

Broker Signature ✗	Broker Name / Rep ID	Date

MEDALLION SIGNATURE GUARANTEE (for office use only)	MEDALLION SIGNATURE GUARANTEE (for office use only)

SECTION 4: Successor custodian letter of acceptance – for iras and qualified plans (office use only)

To the prior trustee or custodian: please be advised that COR CLEARING LLC will accept the account described herein as successor custodian.		
Authorized Firm Representative x	Print Name	Date

SECTION 5: Letter of authorization – account registration differences – Complete only if applicable

Required: If the account name and/or title you are transferring does not match your account title on the receiving account. I/we hereby authorize the transfer of my/our account being held at the firm listed on page 1 of this form and registered as:

_____

Account title as it appears on your most recent statement

Delivering Account Owner Signatures: All parties on the delivering account must sign below.

Account Holder Signature ✗	Account Holder Signature ✗
Account Holder Signature ✗	Account Holder Signature ✗

SECTION 6: One and the same letter - Complete only if applicable

I, _____ (please print name), am One and the Same as _____ (please print name) as shown on the delivering firm account.
Please sign BOTH Ways

Account Holder Signature ✗	Account Holder Signature ✗

Fenix SECURITIES

ACCOUNT TRANSFER FORM (ACAT)

Account Number:					—				

GUIDANCE FOR COMPLETING THE ACCOUNT TRANSFER FORM

NOTE: If you are requesting a transfer from a Qualified Retirement plan, please contact your plan administrator, as this form may not be required. If you are transferring between two COR Clearing accounts, please use the LOA for Internal Transfer. This form may not be used to transfer from a checking or savings account from a bank/credit union. For IRAs and Beneficiary IRAs where the original owner was 70 ½ years or older at death, please attach a copy of your end of year statement to enable us to calculate the required minimum distribution for the account.

SECTION 1: Account information

The account title and the Tax ID for both the account being transferred and your COR Clearing account should match.

SECTION 2: Transfer instructions - Only complete one part of this section.

A. Brokerage Account Transfer

a. Only whole shares may be transferred.
b. For Partial Transfers, list descriptions of assets and share quantities.
c. Proprietary Mutual Funds and all no-load Money Market funds cannot be transferred in-kind and must be liquidated.

B. Mutual Fund Company Transfer

a. List the Name, account number, symbol and quantity.
b. COR Clearing will transfer shares in-kind. This section pertains only to shares of Mutual Funds held directly with the fund company. For brokerage accounts containing mutual funds and/or stocks complete the Brokerage Account section 2A above

C. Bank or Credit Union Transfer- For Retirement Accounts ONLY

a. Transfer Cash only.
b. Original signatures are usually required. Please mail the original form to complete the transfer request.
c. For any investment that has a renewal deadline, maturity date, surrender charge period/window, or the like, paperwork must be received in good order three (3) weeks prior to the firm deadline to allow for proper processing times.

D. Annuity Liquidation

a. Select only one. If partial is selected, amount for partial must be included. Contact the insurance company to determine whether surrender forms are required before submitting the transfer form. Attach surrender form if applicable.

E. Transfer Agent

a. This section is specifically for transfers from a Transfer Agent via the Direct Registration System or DRS. DRS transfers must be between like- titled accounts. Please provide the most recent copy of your delivering account statement dated within 90 days.
b. All shares MUST be held in book-entry form at the Transfer Agent prior to initiating the transfer.

SECTION 3: Account holder authorization

All account holders (clients or trustees) as indicated by the account registration must sign this section. Medallion Signature Guarantee is required as a protection against fraud on non-ACAT eligible transfers.
The best source of a Medallion Signature Guarantee is a brokerage firm, bank, credit union or savings and loan association with which you do business. Guarantor firms may, but frequently do not, charge a fee for their services.

SECTION 4: Successor custodian letter of acceptance – For iras and qualified plans Office use only.

SECTION 5: Letter of authorization – Account registration differences

This section only applies to situations where there is a common beneficial owner between both accounts. COR Clearing does not accept requests to transfer between third parties. Completion of this section does not guarantee processing. It is not applicable to transfers requested in Section 2.E. (requests to transfer from a Transfer Agent).

SECTION 6: One and the same letter

Completing this section does not guarantee processing and you may be required to update your account registration at the delivering firm. If you are transferring an account, and the name(s) at COR Clearing do not exactly match but are still for one and the same person, please complete this section. This section should be used if your name has changed due to one or more of the following: Marriage, Divorce, Name Spelling Error, or any type of Name Change including Jr. or Sr. If there is a difference in the last name, you must supply legal documentation sufficient to establish matching identity, for example, a state-issued driver's license, passport, or government ID.

FREQUENTLY ASKED QUESTIONS ON TRANSFERS

How long will the transfer take?

Full brokerage account transfers are sent via ACATS (Automated Customer Account Transfer Service) and take approximately 7 – 10 business days. Any residual balances that remain with the delivering brokerage firm after your transfer is completed should follow in 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 all necessary paperwork.

Will there be any transfer fees?

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

How do I transfer my Mutual Funds?

Fill out Step 2, Section C of the form. There are some mutual fund companies with whom COR 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 COR. You may, at your choosing, contact the prior firm and liquidate these funds. There may be charges, expenses, and tax implications associated with liquidation. You should review the fund's prospectus for more information or contact an accountant or tax professional.

How do I transfer Limited Partnerships and Alternative Investments?

COR can only transfer exchange traded LPs and COR-approved non-exchange traded LPs. Please contact your introducing broker dealer for a list of approved companies.

How do I transfer an Annuity?

Fill out Step 2, Section E of the form. We can only request liquidation for qualified accounts. Contact your existing insurer to see if they will need any additional documentation such as the original annuity contract. Also, please be aware that there may be a surrender charge involved with liquidating the annuity.

What is a Transfer in Kind?

Transfer of securities as is. Assets will be transferred to a new or existing COR brokerage account for the benefit of the client.

Fenix SECURITIES

ACCOUNT TRANSFER FORM (ACAT)

FOR DELIVERING ORGANIZATION'S USE ONLY

Account Number:					—				

Receiving Firm Information	COR Clearing, LLC Mail to: Attn: ACAT Dept 1200 Landmark Center, Ste 800 Omaha, NE 68102-1916
Contact Information	General Inquiries: 402-384-6100 Mutual Funds: 402-384-2047 ACAT Inquiries: 402-384-2050 All Others: 402-384-2050
Delivery Instructions *All deliveries MUST include the client name and COR account number	
DTCC Eligible Securities	DTCC #0052 FBO Client's Name and COR Account Number
DTCC Envelope System deliveries to:	NSCC 0052 FBO Client's Name and COR Account Number
Foreign Securities deliveries to:	Merrill Lynch Custody Services A/C 64U80052 FBO Client's Name and COR Account Number
Euroclear Instructions	Euroclear #78894 *Notification is required for all trade settlement or free deliveries. Please send an e-mail to Foreign@CORClearing.com or call 402-384-6110*
Option Free Deliveries to	OCC COR Clearing #0052 *For account transfers please call 402-384-2050 to coordinate delivery*
Liquidation Checks for: Retirement Accounts ONLY	*Make check payable to and mail to:* COR Clearing, LLC FBO Client's Name and COR Account Number 1200 Landmark Center, Suite 800 Omaha, NE 68102
Mutual Fund deliveries for Network Eligible	COR Clearing Tax ID # 77-0616239 FBO Bin # (Client number) 1200 Landmark Center, Suite 800 Omaha NE 68102 *Questions call Mutual Fund Department: 1-402-384-2047*
Book Entry Government deliveries to: Bills, Notes, Bonds, Strips, FNMA GNMA, FHLMC etc. GSCC Comparison Only: 9686	ABA 021000018 BMO Harris Bank NA/1040/1013029446 FBO Client's Name and COR Account Number
Limited Partnership DPP or REIT deliveries: *General Partnership, Master Limited Partnership, Direct Participation Programs, and Real Estate Investment Trusts, where the asset is book entry at the agent.*	Register IRAs to: COR CLEARING Custodian Tax ID # 77-0616239 FBO Client's Name and COR Account Number Mail to: 1200 Landmark Center, Suite 800 Omaha, NE 68102
Physical Security Deposits	Mail to: COR Clearing, LLC 1200 Landmark Center, Suite 800 Omaha, NE 68102
Money Wire Instructions	BMO Harris Bank 111 West Monroe Street Chicago, IL 60690 ABA #071000288 Swift: HATRUS44 Account Name – COR Clearing Acct # 3174109 FBO Client's Name and COR Account Number
Prime Broker ID *Please send Prime Broker inquiries to prime@corclearing.com*	Institution # 94321 Agent ID # 94321
DVP Trade ID *Please send DVP inquiries to newdvp@corclearing.com*	Institution # 89751 Agent ID # 89751