Reset Form

Account Transfer Form

Receiving Firm DTC Clearing Number: 0188

TD Ameritrade

Use this form to request the transfer of your existing account to TD Ameritrade.

Important Notes:

Please attach a copy of the most recent statement for the delivering account.

- *If you are requesting to transfer from your Qualified Retirement Plan, please contact your plan administrator; this form may not be required.*
- *If you are transferring between two TD Ameritrade accounts, please use the Internal transfer form.*
- *If your are transferring from a transfer agent, please use the Direct Registration System (DRS) Transfer form TDA 100557.*
- *You cannot use this form to transfer from a standard checking account and /or savings account from a bank/credit union.*
- *For IRAs, and Beneficiary IRAs where the original owner was 70½ 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.*

Questions? Call a Transfers representative at 888-723-8504 option 4

Return Options:

Electronically via Message Center:

Log in and go to Client Services > Message Center to attach the file

Regular Mail:
PO Box 2760, Omaha, NE 68103-2760

Overnight Mail:
200 South 108th Avenue
Omaha, NE 68154-2631

Fax: 866-468-6268

Login and Complete our online form:
www.tdameritrade.com/transfer

1 TD Ameritrade Account Information

Your TD Ameritrade Account
(The name/title of the account being transferred should match your TD Ameritrade account and the Tax ID for both the TD Ameritrade account and account being transferred.)

TD Ameritrade Account Number:

Co-Owner US Social Security/Tax ID (if applicable):

Account Name/Title (as shown on statement):

Phone Number: - -

US Social Security/Tax ID:

E-mail:

Account Type *(select one)*:

- ○ Individual – (Non IRA)
- ○ Joint
- ○ Trust
- ○ Estate
- ○ Limited Liability
- ○ Corp/Business
- ○ Traditional IRA
- ○ Roth IRA
- ○ SEP IRA
- ○ SIMPLE IRA
- ○ Partnership/ Investment club
- ○ UGMA/UTMA
- ○ Beneficiary IRA
- ○ Beneficiary Roth IRA
- ○ Coverdell ESA
- ○ Qualified Plan (401k, 403B, PSP, etc.)
- ○ Other:

2 Delivering Account Information

Please provide information about the Delivering Account
(As directed in section 1 both registration and Tax IDs for the TD Ameritrade account and account being tranferred **should match**.)

Delivering Account Number (only one per form):

Delivering Firm Name:

Delivering Account Name/Title (as shown on statement):

Delivering Firm Physical Address:

US Social Security/Tax ID:

City: | State: | ZIP Code:

Co-Owner US Social Security/Tax ID (if applicable):

Delivering Firm Phone Number: - -

Delivering Firm Email (for Foreign Transfers):

Account Type *(select one)*:

- ○ Individual – (Non IRA)
- ○ Joint
- ○ Trust
- ○ Estate
- ○ Limited Liability
- ○ Corp/Business
- ○ Traditional IRA
- ○ Roth IRA
- ○ SEP IRA
- ○ SIMPLE IRA
- ○ Partnership/ Investment club
- ○ UGMA/UTMA
- ○ Beneficiary IRA
- ○ Beneficiary Roth IRA
- ○ Coverdell ESA
- ○ Qualified Plan (401k, 403B, PSP, etc.)
- ○ Other:

*If the registrations do not match, you may either establish a new account online at www.tdameritrade.com or you must supply additional documentation and all delivering account owners must sign section 4. For unlike title/registration transfer, please call the transfer department at 888-723-8504, option 4 for additional requirements. *Please note if there are any issues with processing your transfer, we will communicate that to you via your secure message center when you log in to your account.*

3 Transfer Instructions

Please Complete Only One of the Following Sections A, B, or C
Banks require Original Client Signature. Please mail the Original form to complete the transfer request.

A. Brokerage Firm/Bank & Credit Union Transfer

Only whole shares can be requested as fractional shares cannot be transferred. Please contact the delivering firm regarding your options

○ **Full Transfer** — To transfer entire account, check here and skip to Section 4. When checked, the account will be processed as a full account transfer, and any specific assets listed below will be disregarded.

OR

○ **Partial Transfer** — List specific security and/or cash amount below. If bonds are being transferred, please supply the CUSIP.

DO NOT use this section to list specific assets if you intend to have the account transferred in full. This section should be used for partial transfer requests only.

Unless otherwise indicated, TD Ameritrade will transfer in Full

Asset Description (Cash, Symbol or CUSIP)	Quantity (Enter Cash amount,# of whole shares or "ALL")	Asset Description (Symbol or CUSIP)	Quantity (Enter # of whole shares or "ALL")
1.		5.	
2.		6.	
3.		7.	
4.		8.	

○ *For additional securities, see attached list.*

B. Certificates of Deposit & Annuity Transfer

Transfer cash only. Unless otherwise indicated, all cash will be transfered.
Annuity and Trust Companies require Original Client Signature. Please mail the Original form to complete the transfer request.

Certificates of Deposit (CDs)

○ **Redeem my CD immediately. I understand that penalties may apply for any withdrawals prior to maturity.**

○ **Redeem my CD at maturity. Maturity Date:** ☐☐ – ☐☐ – ☐☐☐☐
*Submit request at least **21 days** prior to maturity. Please advise your bank not to roll over your CD to new term.*

Indicate in this section whether you wish to liquidate the CD immediately or at maturity. For any investment instruments that have a renewal deadline, maturity date, surrender charge period/window, etc., paperwork must be received by TD Ameritrade in good order three weeks prior to the firm deadline to allow for proper processing times. To liquidate a CD held in a non-retirement account, contact the bank or credit union at which the assets are being held.

Annuity Transfer

Liquidate annuity in full or partial liquidation (select one)
TD Ameritrade is not responsible for the timing or execution of liquidations processed by the delivering firm.

If partial is selected, amount for partial must be included

○ **Full Redeem** and terminate entire contract on my behalf, I understand that penalties may apply.

○ **Partial Redeem** only the penalty-free amount of **$** ________ **or** ☐☐☐ **%**

○ **Partial Redeem $** ________

I have an annuity policy that I wish to transfer. Please redeem and terminate on my behalf. I am aware of, and acknowledge, that I am responsible for any penalties that I may incur from any early withdrawal.

C. Mutual Fund Company Transfer

*Proprietary Mutual Funds and all no-load Money Market funds cannot be transferred in-kind and must be liquidated. A statement **MUST** be included to ensure proper handling and processing of your Mutual Fund transfer.*

Unless otherwise Indicated, TD Ameritrade will transfer all shares in-kind and reinvest your dividends and capital gains.

Asset Description (Symbol or CUSIP)	Mutual Fund Account #	Quanity (Enter # of shares or "ALL")	Handling (Check one)	Gains & Dividends (Check one if In-kind)
1.			○ In-Kind ○ Liquidate	○ Reinvest ○ Cash
2.			○ In-Kind ○ Liquidate	○ Reinvest ○ Cash
3.			○ In-Kind ○ Liquidate	○ Reinvest ○ Cash
4.			○ In-Kind ○ Liquidate	○ Reinvest ○ Cash

○ *For additional securities, see attached list.*

Initial Here

Initial here to authorize liquidation of proprietary mutual funds

* Unless otherwise indicated, I authorize the Transfer to liquidate any non-transferable propriety money market and mutual fund assets that are part of my account and to transfer the resulting credit balance to my account with TD Ameritrade. If the fund is unable to be held by TD Ameritrade, I (please initial here) ________ authorize the Transferor to liquidate and transfer as cash.

4 TD Ameritrade Client Authorization *(Required)*

All TD Ameritrade account holders *(clients or trustees)* as indicated by the account registration must sign this section.

Unless otherwise indicated in the instructions above, please transfer, in-kind, all assets into my account with TD Ameritrade. I understand that the extent any assets in my account are not readily transferable, with or without any penalties, such assets may not be transferred within the time frames required by applicable regulations. I understand I will be contacted by the carrying and/or receiving firm with regard to any assets that are not transferable. I authorize the Transferor to deduct any outstanding fees due to transfer from the credit balance, or if the credit balance in the account is insufficient to satisfy any outstanding fees. If certificates or other instruments in my account are in your physical possession, I instruct Transferor 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, for a full account transfer, Transferor will freeze my account and cancel all open orders. I also understand that no new orders may/will be taken. I affirm that I have destroyed or returned to the Transferor all credit/debit cards and/or unused checks issued to me in connection with my account.

If this TD Ameritrade account is a qualified retirement account, I have amended the applicable plan to designate the successor custodian. Alternatively, if this TD Ameritrade account is an Individual Retirement Account (IRA), I have adopted an IRA plan so that it names the successor custodian.

Registration Differences: All delivering and receiving account owners are required to sign the transfer form. For unlike titled or type transfers, such as Individual to Joint, Individual to Trust, or other non-like titles, I authorized the transfer by signing below.

One and the Same Name Discrepancies: If you are transferring an account, and the name(s) at TD Ameritrade do not exactly match the delivering account title but you are still one and the same person, the owner must sign the form using all variations. This would apply 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., Sr., etc. For last name differences, you must supply legal documentation along with the transfer form; such as state issued driver's license, passport, or government ID. I authorize the transfer by signing below.

Sign Here

If your name does not match between TD Ameritrade and the delivering firm, please sign all variations

Client Signature:
X

Printed Name:

Date: __ __ - __ __ - __ __ __ __

Co-Owner's Signature:
X

Printed Name:

Date: __ __ - __ __ - __ __ __ __

Co-Owner's Signature:
X

Printed Name:

Date: __ __ - __ __ - __ __ __ __

Co-Owner's Signature:
X

Printed Name:

Date: __ __ - __ __ - __ __ __ __

(Medallion Signature Guarantee — For TD Ameritrade Use Only)

5 Letter of Acceptance *(For Office Use Only)*

The undersigned organization agrees to serve as successor custodian for the amount of the above-named individual, and as custodian, we agree to accept the assets being transferred.

Representative Signature:
X

Date: __ __ - __ __ - __ __ __ __

Representative Printed Name:

(Medallion Signature Guarantee — For TD Ameritrade Use Only)

For TD Ameritrade Clearing, Inc. use only

Please be advised that TD Ameritrade Clearing, Inc. is an "Approved 403(b)(7) Vendor" and/or has entered into an Information Sharing Agreement with the Employer for the above-captioned 403(b)(7) account. The Employer/Agent Signature above hereby authorizes TD Ameritrade Clearing, Inc. to accept this exchange.

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