

Account Transfer Confirmation: Brokerage, Partial

Additional Documentation is Needed

Your reference number for this transfer request is **22138907486096**

In order to complete processing your Account Transfer Request, you will need to provide us with the following documentation

1 Include the following documents:

Account Transfer Form - Signed by all account owners

Account Statement - From your other financial institution, dated within the past 6 months

Death Certificate

Affidavit of Domicile

Letter of Testamentary

Copy of Will (if available)

2 Write the transfer reference number at the top of each sheet of paper. The reference number is listed above.

3 Submit all required documentation via the [Message Center](#) or Fax or Mail these documents to one of these addresses:

By Fax
1-866-650-0003

By Overnight Mail
E*TRADE Securities LLC
Harborside Financial Center
501 Plaza 2
34 Exchange Place
Jersey City, NJ 07311

By Regular U.S. Mail
E*TRADE Securities LLC
PO Box 484
Jersey City, NJ 07303-0484

4 Retain a copy of the documents listed in step 1 for your records

As a reminder, once you have submitted these documents, depending on how quickly your assets are released by the delivering institution, mailed transfer requests typically take 3-6 weeks. Thank you for your patience.

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**E*TRADE Account
Information**

Account Type: INDIVIDUAL

Account Title: John C Simon SR

Account Number: 45312797

Delivering Institution Information

Delivering Institution Name: TD AMERITRADE

Account Title: CLAUDE ANTHONY CLAIREAUX SIMON ADMIN EST VICKI CLAIREAUX SIMON

Account Number: 496121567

Transfer Instruction and Authorization

I hereby instruct the delivering institution as follows:

To Delivering Firm: Please transfer assets from my account with you to E*TRADE Securities LLC, (together with its affiliates, "E*TRADE"), as indicated in the account transfer form. I understand that if assets in my account are not readily transferable (with or without penalties), such assets may not be transferred within the time frames required by FINRA Rule 11870 or comparable rule of another securities industry self-regulatory organization. I authorize you to liquidate assets in my account as necessary to satisfy outstanding fees due to you. **Unless otherwise indicated, I further authorize you to redeem my shares in nontransferable proprietary mutual funds, deduct any outstanding fees due to you, and transfer the resulting credit balance to E*TRADE.** I instruct you to transfer certificates or other instruments in my account in good deliverable form, including affixing any necessary tax waivers, to enable E*TRADE 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.

For Full Account Transfer: I affirm that I have returned to you or destroyed any credit/debit cards and/or unused checks issued to me in connection with the account I am transferring. I understand that, except in the case of my nontransferable proprietary mutual fund shares that you may liquidate without further instruction from me, you may need to contact me with respect to the disposition of any assets in my securities account that are nontransferable.

Assets You Are Transferring to E*TRADE Securities**Security Symbol****Number of Shares**

DBLTX

6133

LISAX

2919

NMBAX

4612

TPINX

2684

VKLMX

3860

Cash: \$6517.00



To Delivering Firm and E*TRADE: By signing below, I acknowledge that I have read, understand, and agree to be legally bound by the terms and conditions of this Transfer Instruction and Authorization. I hereby represent that the information I have provided above is true and accurate. I further authorize E*TRADE to share information about me with the financial institution from which I desire to transfer assets, in order to provide for the orderly transfer of my account or any portion thereof.

Based on your transfer request, you are seeking to make a transfer between unlike accounts from your existing account with the delivering institution identified above to E*TRADE. Transfers between accounts with unlike titles or account types must be authorized by all receiving and delivering account holders. E*TRADE or the delivering institution may require additional documentation to effect transfers between unlike accounts, you will be notified accordingly of any such additional requirements (if applicable). By signing below, I/we authorize the transfer of assets pursuant to the instructions I/we have provided from the delivering institution account to my/our E*TRADE account.

_____ Signature of Account Holder	_____ Date
_____ Signature of Co-Account Holder (if Applicable)	_____ Date
_____ Signature of Co-Account Holder (if Applicable)	_____ Date

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Transfers between unlike accounts must be notarized below:

If uploading this paperwork through the Message Center, by fax or mail, have this form notarized.

-OR-

If completing this form at one of our branch offices, please bring in a valid form of picture identification.

NOTARY ACKNOWLEDGMENT:

State of: _____ [seal]
County of: _____
Subscribed and sworn before me: _____
Date: _____
Signature of notary: _____
My commission expires: _____

FOR E*TRADE SECURITIES LLC USE ONLY:

I have verified the Registered Owner's signature against a valid form of photo identification.

Signature of E*TRADE Branch Manager X _____
Date: _____
Print Name: X _____