

Transfer Request



Return This Form

1. Print this page

Can't print now? Call us for help at 800-454-9272.

2. Complete and sign the form.

All account owners must sign.

3. Gather these additional documents:

- Estate documentation (Ex., death certificate, will, legal document appointing an executor of the estate)
- A copy of your most recent statement for the account you're transferring from

4. Send the form and documents to us.

Regular mail:	Overnight mail:	Fax:
TD Ameritrade, Inc.	TD Ameritrade, Inc.	866-468-6268
PO Box 2760	200 South 108th Ave.	
Omaha, NE 68103-2760	Omaha, NE 68154-2631	

Questions? Call us at 800-454-9272. We're available 24 hours a day, seven days a week.

Transaction ID: **1517592**

TDA Form #: **TDA 9190**

Please reference this ID if you call us for support.



Transfer to

Account title:	CLAUDE ANTHONY CLAIREAUX SIMON ADMIN EST VICKI CLAIREAUX SIMON
Taxpayer ID/SSN:	84-6656649
Account type:	Estate
Account number:	496121567
Contact number:	(912) 441-0062

Alternate contact number:

Transfer from

Account type: **Individual**
Company name: **MORGAN STANLEY SMITH BARNEY LLC (Brokerage Account)**
Account title: **VICKI C SIMON**
Account number: **05208027222**

Assets

Transfer all assets.

Close my account at the other company.

Transfer agreement

I hereby request that the delivering firm (Transferor) transfer in kind all the assets as specified above in my account to TD Ameritrade. 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 applicable regulations. I understand I will be contacted by the carrying and/or receiving firm with regard to any assets that are nontransferable.

Unless otherwise indicated, I authorize the Transferor to liquidate any nontransferable proprietary money market fund assets that are part of my account and to transfer the resulting credit balance to my account with TD Ameritrade. I authorize the Transferor to deduct any outstanding fees due to the Transferor 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, I authorize the Transferor to liquidate assets in my account to the extent necessary to satisfy that obligation. If certificates or other instruments in my account are in the Transferor's physical possession, I instruct the 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, the Transferor will cancel all open orders for my account.

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. If I have any questions about a possible loss of coverage, I will contact my current firm before closing an account.

Certification and Signatures

Note that the delivering firm may not be able to transfer some mutual funds (proprietary and money market) out of your account. If any mutual funds are nontransferable, we will contact you.

I, **CLAUDE ANTHONY CLAIREAUX SIMON**, am a legal owner of this account and agree to the terms of the Transfer Agreement.

Account owner signature: 

I, **CLAUDE ANTHONY CLAIREAUX SIMON**, am a legal owner of this account and agree to the terms of the Transfer Agreement.

Account owner signature: _____

Date: October 2, 2019

For TD Ameritrade Clearing use only

Letter of Acceptance: The undersigned organization agrees to serve as successor Custodian for the account of the above-named individual, and as Custodian, we agree to accept the assets being transferred.

Successor Custodian Authorized Signature (sign & date):

For delivering firm use only

Receiving firm information:

Clearing firm: TD Ameritrade Clearing, Inc.

Tax ID number: 47-0533629

TD Ameritrade Clearing, Inc.
Attn.: Asset Transfer Services
200 South 108th Avenue
Omaha, NE 68154-2631

All deliveries MUST include client name and TD Ameritrade Clearing account number.

Depository Trust Company:

DTC #0188

Federal Book Entry:

BK of NYC/AMERITRADE
ABA #021000018

Mutual Fund Registration:

TD Ameritrade Clearing
Tax ID No. 47-0533629
FBO Client's Name and Account Number
PO Box 2226
Omaha, NE 68103-2226

Broker/Dealer: TD Ameritrade, Inc.

Options Clearing Corp:
OCC #0777

Wire Funds

If your financial institution is located in the United States, wire to:

Wells Fargo Bank, NA
420 Montgomery Street
San Francisco, CA 94104
ABA transit routing #121000248

For credit to:

TD Ameritrade Clearing, Inc.
Account # 4123214561

On behalf of:

Your name
Your TD Ameritrade account number (Use numbers only. **Ex:** 123456789)
Your address

If your financial institution is located outside the United States, wire to:

First National Bank of Omaha
16th & Dodge Streets
Omaha, NE 68102
ABA # 104000016
Swift Code / BIC: FNBOUS44XXX (If your bank requires it)

For credit to:

TD Ameritrade Clearing, Inc.
Account # 16424641

On behalf of:

Your name
Your TD Ameritrade account number (Use numbers only. **Ex:** 123456789)
Your address

Contact TD Ameritrade, and not the banks, with questions or concerns about wire transfers.

Send a check

Forward checks and physical certificates to:
TD Ameritrade Clearing, Inc. PO Box 2229
Omaha, NE 68103-2229

On behalf of:
Your name
Your TD Ameritrade account number (Use numbers
only. **Ex:** 123456789)
Your address

For TD Ameritrade Clearing use only

Broker #:

Account #: **496121567**