

# Brokerage Transfer Form



**Use this form to transfer regular or retirement assets from other firms to an American Century Investments® brokerage account.**

- **You must attach a complete copy of your most recent statement from the delivering firm for each security you request to transfer.**
- If you are transferring **more than one account** from a brokerage firm, bank, savings and loan or credit union, you must complete a separate form for each account.
- If you are transferring **mutual funds** held directly with different mutual fund companies, you must complete a separate form for each fund company.
- Non-U.S. positions being transferred into your account will be held in U.S. dollars.
- You should anticipate that your existing firm may not allow you to make transactions in your account once the transfer process has begun.
- American Century Brokerage cannot accept transfers of uncovered options, short positions, futures, precious metals or annuities.
- The cost basis election on your American Century Brokerage account may be different than the election on the delivering account.

## **1 Provide Information About Your American Century Investments Brokerage Account**

If you do not currently have a brokerage account established with American Century Investments, please attach a completed application.

0443 \_\_\_\_\_ 4MV- \_\_\_\_\_  
 Receiving Firm Clearing Number Brokerage account number (leave blank for new account)

\_\_\_\_\_  
 Primary account holder's SSN/EIN Primary account holder's name Telephone number (daytime)

\_\_\_\_\_  
 Secondary account holder's SSN/EIN Secondary account holder's name Telephone number (daytime)

### Receiving Firm Account Type:

Non-Retirement	
<input type="checkbox"/> Individual	<input type="checkbox"/> UGMA/UTMA
<input type="checkbox"/> Joint	<input type="checkbox"/> Estate
<input type="checkbox"/> Trust	<input type="checkbox"/> Self-Directed Retirement Trust
<input type="checkbox"/> Corporate	<input type="checkbox"/> Other _____

Retirement	
<input type="checkbox"/> Traditional IRA	<input type="checkbox"/> Beneficiary Traditional IRA*
<input type="checkbox"/> Roth IRA	<input type="checkbox"/> Beneficiary Roth IRA*
<input type="checkbox"/> Rollover IRA	<input type="checkbox"/> SIMPLE IRA
<input type="checkbox"/> SEP IRA	

\*For Beneficiary Traditional IRA or Beneficiary Roth IRA (additional information is required):

\_\_\_\_\_  
 Name of deceased Relationship

\_\_\_\_\_  
 Deceased's date of birth Deceased's date of death

**Step 1 continued on page 2**

## Provide Information About Your American Century Investments Brokerage Account (continued)

### Commingling Rollover Assets

I have read the explanation below<sup>(1)</sup> regarding the consequences of commingling rollover assets with other IRA assets. If I have listed my American Century Investments Traditional IRA account number as the receiving account, I understand that I am authorizing commingling to occur.

I hereby elect to maintain my rollover assets separately from my Traditional IRA assets and understand that if I have checked this box, a new Rollover IRA account will be established for these funds, even if I have directed the assets to be placed in my Traditional IRA account number elsewhere on this form.

(1) Commingling Contributions: Funds rolled over from an employer's retirement plan ("rollover assets") can be kept in a separate account, usually in a Rollover IRA. This allows you the option to return the rollover assets to a qualified retirement plan in the future. Commingling rollover and other IRAs together may cause you to forfeit that option in the future. Additionally, a Rollover IRA allows you to maintain eligibility for special tax treatment under an income-averaging or capital gains elections for qualified plan distributions. If you wish to preserve these options and special tax treatment, when applicable, please check the box above.

### Mutual Fund and Equity Dividend Reinvestments

Dividend and capital gain distributions may be reinvested or swept into your brokerage account. New mutual fund purchases default to reinvest. Equity purchases default to pay distributions as cash to your sweep account. A security issuer may declare an optional dividend that requires you elect either cash or stock prior to payment. We will apply your dividend reinvestment instruction to any future optional dividends, unless you notify us of alternate instructions prior to the election cut-off time. If you desire to change the defaults, please contact us at 1-888-345-2071 once your account is established.

## 2 Provide Information About the Account You Are Transferring

The account(s) you are transferring must have the same registration as your American Century Investments brokerage account. If the account registrations do not match, please contact us. For direct rollovers from employer-sponsored tax-qualified plans, please contact your retirement plan sponsor. A direct rollover is a reportable distribution from a qualified plan to an IRA or other qualified plan.

Name of delivering firm

Delivering firm account number

Delivering firm address (Address this form should be sent to.)

Account Title (as it appears on your statement)

### Delivering Firm Account Type:

Non-Retirement	
<input type="checkbox"/> Individual	<input type="checkbox"/> UGMA/UTMA
<input type="checkbox"/> Joint	<input type="checkbox"/> Estate
<input type="checkbox"/> Trust	<input type="checkbox"/> Self-Directed Retirement Trust
<input type="checkbox"/> Corporate	<input type="checkbox"/> Other _____

Retirement	
<input type="checkbox"/> Traditional IRA	<input type="checkbox"/> Beneficiary Traditional IRA*
<input type="checkbox"/> Roth IRA	<input type="checkbox"/> Beneficiary Roth IRA*
<input type="checkbox"/> Rollover IRA	<input type="checkbox"/> SIMPLE IRA
<input type="checkbox"/> SEP IRA	

\*For Beneficiary Traditional IRA or Beneficiary Roth IRA (additional information is required):

Name of deceased

Relationship

Deceased's date of birth

Deceased's date of death

### 3 Indicate the Type of Transfer You Are Requesting (choose only one)

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Indicate the type of transfer you are requesting. Mark the box next to **one** of the options below. If more than one transfer type, please complete a separate *Brokerage Transfer Form* for each transfer. Please contact us at 1-888-345-2071 for assistance with the type of transfer if needed.

- Transfer From Another Brokerage Account** — Choose this transfer type if you are transferring assets that are not listed below such as transfers of stocks, bonds or mutual funds which are not held directly at the fund company.
- Direct Mutual Fund Transfer** — Choose this transfer type if you are transferring a mutual fund position held directly with the mutual fund company.
- You must complete a separate *Brokerage Transfer Form* for each additional fund family.
  - Some mutual funds are not transferable (e.g., certain proprietary funds issued by other brokers).
- Bank Retirement Account Transfers** — Choose this transfer type if you are transferring a retirement account held at a bank such as a Traditional IRA CD or checking.
- You will receive the current market price after your transfer request is received, reviewed and determined to be in good order by the delivering firm. American Century Brokerage is not responsible for market fluctuations or delays in the review process.
  - Please contact your financial organization to stop any automated investments.
  - Do not use this form if you are transferring a non-retirement account held at a bank. See below for instructions for transferring a non-retirement account held at a bank.
  - Assets will be liquidated at maturity (if applicable) and cash transferred. Specify maturity date in the space provided (submit two to three weeks before maturity date): \_\_\_\_\_  
(month-day-year)

If you are transferring a non-retirement account held at a bank, do not complete this form. Please contact the financial institution where the funds are held to liquidate and have the check proceeds made payable to American Century Brokerage. Then,

- If you have an existing American Century Brokerage account, forward the check proceeds to us for investment. Please be sure to reference your existing account number.
  - If you do not have an existing American Century Brokerage account, forward the check proceeds to us for investment along with your completed application.
- Direct Registration System (DRS)/Direct Reinvestment Plan (DRIP)** — Choose this transfer type if you are transferring a position held directly at the transfer agent.
- Assets in this category must be transferred in-kind.
  - If fractional shares exist, fractional shares will be liquidated, cash proceeds will be transferred to the receiving account and the delivering account will be closed.

## 4 Indicate the Assets You Are Transferring

The securities indicated below may only be transferred between accounts with the same registration.

### Brokerage: Full Transfer in Kind and Close Account

All securities and cash will be transferred and account will be closed.

- Do **not** list securities in the table below.
- Enclose your most recent account statement (must include the account number, full registration and all holdings).
- Proceed to step 6.

### Mutual Fund: Full Transfer of mutual funds registered directly with a mutual fund company:

- Please DO NOT use the Brokerage Full Transfer in Kind and Close Account Option above.
- All mutual fund transfers must complete the table below.
- All money market funds and non-transferable proprietary funds must be liquidated prior to transferring. Please contact your mutual fund company to liquidate these securities prior to submitting this form. This may be a taxable event.

### Partial Transfer

- Cash: Indicate specific dollar amount or All: \$ \_\_\_\_\_
- Securities: List each security you wish to transfer in the table below. If you are transferring more than six securities, please submit additional securities on a duplicate page.

Name	CUSIP®/Symbol	Full or Partial	Number of Shares
		<input type="checkbox"/> Full <input type="checkbox"/> Partial	
		<input type="checkbox"/> Full <input type="checkbox"/> Partial	
		<input type="checkbox"/> Full <input type="checkbox"/> Partial	
		<input type="checkbox"/> Full <input type="checkbox"/> Partial	
		<input type="checkbox"/> Full <input type="checkbox"/> Partial	
		<input type="checkbox"/> Full <input type="checkbox"/> Partial	

## 5 One and the Same Person Certification

Please only complete this section if the account owner of both accounts is the same person but the name on the delivering account and the name of the receiving account are not an exact match. Examples of discrepancies include name differences due to abbreviations and suffixes (Sr., Jr., etc.).

By signing below, I certify that the names listed are legally one and the same person.

\_\_\_\_\_  
Print name on account

**and**

\_\_\_\_\_  
Print alternate name

## 6 Read and Include All Account Owners' Signatures

- Unless otherwise indicated, please transfer all assets in my account to Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation, without penalties; such assets may not be transferred within the time frames required by FINRA Rule 11870.
- Unless otherwise indicated in the instructions above, I authorize you to liquidate any non-transferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the Successor Custodian.
- 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 my account is insufficient to satisfy any outstanding fees due you, I authorize you to liquidate assets in my account to the extent necessary to satisfy that obligation.
- If account registrations do not match, contact American Century Brokerage.
- 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 purposes of the sale, when, and as directed, by me.
- I understand that upon receiving a copy of this transfer information, you will cancel all open orders for my account on your books.
- I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me in connection with my existing account.
- I understand that you will contact me with respect to the disposition of any assets in my securities account that are non-transferable.
- For transfers to retirement accounts: I agree to transfer those assets which can be held in my account, as described in the relevant custodial agreement or plan document. I acknowledge that I have adopted a retirement plan that names State Street Bank and Trust Company as Successor Custodian.
- RMD restrictions (for Traditional, Rollover, SEP and SIMPLE IRAs): Generally, the starting age for required minimum distributions (RMDs) is age 72 (or 70½ if you were born before 7/1/1949). You may not transfer or roll over your RMD. If necessary, instruct your present custodian, prior to effecting this transaction, to either: 1) pay your RMD to you now, or 2) retain that amount for distribution to you later.

**All account owners/authorized signers must sign and date. If more than two owners/authorized signers exist, use a duplicate signature page.**

Signature (Owner/trustee/custodian/authorized signer)

Date

Signature (Joint owner/additional trustee/authorized signer)

Date

Custodial Acceptance for Retirement Accounts. If all required forms and information are properly submitted, State Street Bank and Trust Company will accept appointment as Custodian of the Custodial Account. However, this Agreement is not binding upon the Custodian until the Depositor has received a statement confirming the initial transaction for the Custodial Account. Receipt by the Depositor of a confirmation of the purchase of the Fund shares indicated in the Depositor's Application will serve as notification of State Street Bank and Trust Company's acceptance of appointment as Custodian of the Custodial Account.

STATE STREET BANK AND TRUST COMPANY, CUSTODIAN

**Please attach your most recent brokerage account statement to process this account transfer.**

## 7 Provide Signature Guarantee

**Please call your current custodian or other institution from which you are transferring to see if a signature guarantee or other documentation is required.** A signature guarantee is a warranty by the guarantor that the signature is genuine and that the person signing is competent and authorized to sign. Many domestic banks, trust companies, credit unions, brokers, dealers, national securities exchanges, registered securities associations, clearing agencies and savings associations can provide a signature guarantee for you. The signature must correspond in every way, without alteration, with the name printed on the current account registration. Each guarantee must be an original ink stamp that states "Signature Guaranteed/Medallion Guaranteed."

**IMPORTANT NOTE:** Acknowledgement of signature by a notary public is NOT acceptable.

**Please affix signature guarantee ink stamp below with appropriate signature and title of officer.**

**American Century Investments**

P.O. Box 419146

Kansas City, MO 64141-6146

Investment Specialist: 1-888-345-2071

[americancentury.com/brokerage](http://americancentury.com/brokerage)