

External Transfer Form 外部转移表

Receiving Firm DTC Clearing Number: 0188

接收券商DTC清算号码: 0188

Note: Form must be completed in English. Forms completed in any other language will not be accepted. In case of any discrepancy between the English and Chinese version of this form, the English version shall prevail.

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 you are transferring from a transfer agent, please use the Direct Registration System (DRS) Transfer form TDA 100557.
- If you are transferring Alternative Investment(s), please note the Alternative Investment Agreement form TDA 3745 is also required and a \$250 annual custodial fee is charged per asset.
- 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

请注意: 表格必须用英文填写。用其他文字填写的表格将不会被接受。若本表格的英文与中文版内容有任何差异, 以英文版本为准。

请使用此表格完成将您现有账户转移到德美利证券的申请。

重要通知:

请附上转出账户的最新对账单。

- 如果您要求从合格退休计划进行转账, 请联系计划管理员。您可能不需要此表格。
- 如果要在两个德美利证券账户之间进行转账, 请使用内部转账表格。
- 如果您是从转让代理进行转移, 请使用直接注册系统(DRS)转账表格TDA 100557。
- 如果您要转移替代投资, 您还将需要递交“替代投资协议”表格TDA 3745, 并且每项资产将收取年度保管费\$250。
- 此表格不适用于从银行/信用合作社转出的标准支票账户和/或储蓄账户。
- 对于IRA和原持有人死亡时年满70½岁的受益人IRA, 请附上您的年终对账单, 以便我们计算该账户所需的最低分配。

如有任何问题, 请拨打888-723-8504并选择4, 致电账户转移代表



Return Options 寄回方式:

Electronically via Message Center
从讯息中心电子递送:

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

登入并进入客户服务>讯息中心, 将文件加为附件

Regular Mail 常规邮寄:

PO Box 2760, Omaha, NE 68103-2760

Overnight Mail 隔夜邮寄:

200 South 108th Avenue Omaha, NE 68154-2631

Fax 传真: 866-468-6268

Login and Complete our online form

登入账户填写在线表格:

secure.tdameritrade.com/transfers/account

1 TD Ameritrade Account Information 德美利证券账户信息

TD Ameritrade Account Number:
德美利证券账户号码:

Account Name/Title (as shown on statement):
账户姓名/名称(如对账单所示):

Phone Number:
电话号码:

Account Type 账户类型 (select one 单选)

- Individual 个人账户 - (Non IRA 非IRA)
- Joint 共同账户
- Trust 信托账户
- Estate 遗产账户
- Limited Liability 有限责任账户
- Corp/Business 公司/企业账户
- Traditional IRA 传统IRA账户
- Roth IRA 罗斯IRA账户
- SEP IRA 简化雇员退休账户

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.)

U.S. Social Security/Tax ID:
美国社会安全号码/税号:

Co-Owner U.S. Social Security/Tax ID (if applicable):
共同持有人美国社会安全号码/税号(如适用):

Email:
电子邮件:

您的德美利证券账户

(您所转移账户的姓名/名称应与您德美利证券账户一致, 且德美利证券账户和转移账户的税号应一致。)

2 Delivering Account Information 转出账户信息

Delivering Account Number (only one per form):
转出账户号码 (每份表格只限一个转出账号):

Delivering Account Name/Title (as shown on statement):
转出账户姓名/名称 (如对账单所示):

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 transferred **should match**.)

Delivering Firm Name:
转出公司名称:

Delivering Firm Physical Address:
转出公司实际地址:

请提供转出账户信息

(如第一节所示, 德美利证券账户和转出账户的注册和税号应一致。)



U.S. Social Security/Tax ID:
美国社会安全号码/税号:

City:
城市:

State:
州:

ZIP Code:
邮政编码:

Co-Owner U.S. Social Security/Tax ID (if applicable):
共同持有人美国社会安全号码/税号(如适用):

Delivering Firm Phone Number:
转出公司电话号码:

Delivering Firm Email (for Foreign Transfers):
转出公司电子邮件 (用于国外转移):

Account Type 账户类型 (select one 单选)

- Individual 个人账户 – (Non IRA 非IRA)
- Joint 共同账户
- Trust 信托账户
- Estate 遗产账户
- Limited Liability 有限责任账户
- Corp/Business 公司/企业账户
- Traditional IRA 传统IRA账户
- Roth IRA 罗斯IRA账户
- SEP IRA 简化雇员退休账户

- SIMPLE IRA 简单个人退休账户
- Partnership/Investment club 合伙人/投资俱乐部账户
- UGMA/UTMA 向未成年人赠予统一法案监管账户 /向未成年人转移财产统一法案监管账户
- Beneficiary IRA 受益人IRA账户
- Beneficiary Roth IRA 受益人罗斯IRA账户
- Coverdell ESA 教育储蓄账户
- Qualified Plan (401k, 403B, PSP, etc.) 合格计划(401K,403B,PSP等)
- Other 其他:

*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.*

如果注册信息不一致，您可以从chinese.tdameritrade.com创建新账户，或您必须提供额外文件且所有转出账户持有人必须在第四节签名。对于非同名注册转移，请致电888-723-8504并选择4给转账部门获取额外要求。*请注意，如果在处理您的转移中如果出现任何问题，我们将通过安全信息中心(您须登入账户)告知您相关情况。

3 Transfer Instructions 转移指示

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.

请您仅填写下方的一个部分(A, B, 或 C)
银行需要客户的原始签名。请邮寄原始表格以完成转移申请。

A. Brokerage Firm/Bank & Credit Union Transfer 经纪公司/银行与信用社转移

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

您只能要求整股股票，这是由于分数股无法被转移。有关您的选择请联系转出公司。

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 全部转移 — 要转移全部账户，勾选此处并跳至第4节。选中后，该账户将按全部转移处理，且下方列出的任何指定资产都将被忽略。

Partial Transfer—List specific security and/or cash amount below. If bonds are being transferred, please supply the CUSIP. **部分转移** — 请在下表中列出具体证券和/或现金金额。如果要转移债券，请提供CUSIP号码。

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.

如果您想要转移全部账户，请不要在以下表格中列出指定资产。此节仅适用于部分转移申请。

Asset Description 资产描述	Quantity 数量	Asset Description 资产描述	Quantity 数量
(Cash, symbol or CUSIP) (现金、代号或CUSIP)	(Enter Cash amount, # of whole shares or "ALL") (请输入现金金额、整股股数或“全部”)	(symbol or CUSIP) (代号或CUSIP)	(Indicate # of whole shares or "ALL") (请注明整股股数或“全部”)
Unless otherwise specified, TD Ameritrade will transfer the entire account. 除非另行注明，否则德美利证券将转移整个账户	1.	5.	
	2.	6.	
	3.	7.	
	4.	8.	

For additional securities, see attached list. 对于额外的证券，请见附件清单。

B. Certificates of Deposit & Annuity Transfer 定存和年金转移

Transfer cash only. Unless otherwise indicated, all cash will be transferred.

Annuity and Trust Companies require Original Client Signature. Please mail the Original form to complete the transfer request.

仅限现金转移。除非另行注明，现金将被全部转移。

年金和信托公司要求客户原始签名。请邮寄原始表格以完成转移申请。

Certificates of Deposit (CDs) 定存(CD)

Redeem my CD immediately. I understand that penalties may apply for any withdrawals prior to maturity. 立即赎回我的定存。我了解，任何提前提款都可能产生罚金。

Redeem my CD at maturity. Maturity Date: _____ 在到期时赎回我的定存。到期日：

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.

请至少在到期日前21天提交申请。请告知您的银行不要将定存延期到新的期限。

请在此章节注明，您是希望立即清仓定存还是在到期清仓。对于有续约截止日期、到期日、退保收费期等的任何投资工具，德美利证券必须在公司截止日期前3周收到适当的文件，以允许适当的处理时间。要结清非退休账户中持有的定存，请联系持有资产的银行或信用社。

Annuity Transfer 年金转移

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.

全部或部分清算年金(请选择一项)

德美利证券不对交付公司处理清算的时间或执行承担任何责任。

If partial is selected, amount for partial must be included
如果选择部分赎回，则必须填写金额

Full Redeem and terminate entire contract on my behalf, I understand that penalties may apply. 我在此全部赎回并终止了整个合同，我了解这可能产生罚金。

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.

我有想要转移的年金保单。请代表我赎回并终止。我了解并承认，我将对任何提前提款可能造成的任何罚金负责。

C. Mutual Fund Company Transfer 共同基金公司转移

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.

专有共同基金和所有无销售费货币市场基金不能以相同形式转移，必须进行清仓。必须包括确保正确办理和处理您的共同基金转账的声明。

Unless otherwise indicated, TD Ameritrade will transfer all shares in-kind and reinvest your dividends and capital gains. 除非另行注明，否则德美利证券将以相同形式全额转移，并将您的股息和资本收益再投资。

Asset Description 资产描述 (symbol or CUSIP) (代号或CUSIP)	Mutual Fund Account # 共同基金账户号码	Quantity 数量 (Enter # of shares or "ALL") (请输入入股数或“全部”)	Handling 处理方式 (Check one) (单选)	Gains & Dividends 收益与股息 (Check one if In-Kind) (如果是“相同形式”请勾选其一)
1.			<input type="radio"/> In-Kind 相同形式 <input type="radio"/> Liquidate 清仓	<input type="radio"/> Reinvest 再投资 <input type="radio"/> Cash 现金
2.			<input type="radio"/> In-Kind 相同形式 <input type="radio"/> Liquidate 清仓	<input type="radio"/> Reinvest 再投资 <input type="radio"/> Cash 现金
3.			<input type="radio"/> In-Kind 相同形式 <input type="radio"/> Liquidate 清仓	<input type="radio"/> Reinvest 再投资 <input type="radio"/> Cash 现金
4.			<input type="radio"/> In-Kind 相同形式 <input type="radio"/> Liquidate 清仓	<input type="radio"/> Reinvest 再投资 <input type="radio"/> Cash 现金

For additional securities, see attached list. 对于额外的证券，请见附件清单。

Initial Here 姓名首字母

Initial here to authorize liquidation of proprietary mutual funds. 在此处签署姓名首字母，以授权清仓专有共同基金

* 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.

除非另行注明，否则我授权转移结清我账户中任何不可转让型专有货币市场和共同基金资产，并将所得的现金余额转入我在德美利证券的账户中。

If the fund is unable to be held by TD Ameritrade, I (please initial here) _____ authorize the Transfer to liquidate and transfer as cash. 如果德美利证券无法持有该基金，我(请在此签署姓名首字母) 授权转移方进行清仓并以现金方式转移。

4

TD Ameritrade Client Authorization (Required) 德美利证券客户授权(必填)

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

账户注册中所示的所有德美利证券账户持有人(客户或受托人)都必须在此节签名。

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.

除非上述说明中另行注明，否则请将所有资产以“相同形式”转入我在德美利证券的账户中。我了解，如果我账户中的任何资产无法立即转移，无论是否有任何罚金，此类资产可能无法在适用法规要求的时间范围内转移。我了解，如果有任何资产无法转移，转出和/或接收公司将与我联系。我授权转移人从现金余额中扣除任何由于转移产生的未付费用，或者如果账户中的现金余额不足以支付任何未付费用。如果我账户中的凭证或其他工具由您实际持有，当我指示时将按照我的指示，令转移人以良好可交付形式将其转移，包括附加任何必要的免税条款，使继承监管人能够以其名义转移，并以便在我指定的时间出售。我了解，收到此转移指示的副本后，对于全部账户转移，转移人将冻结我的账户并取消所有未成交订单。我也了解，新订单将不被接受。我确认我已经将所有与我账户相关的信用卡/借记卡和/或未使用的支票销毁或退还给转移人。

如果此德美利证券账户是合格的退休账户，我已修改适用的计划以指定继任监管人。或者，如果此德美利证券账户是个人退休账户(IRA)，我已采用IRA计划，以命名继承监管人。

注册差异：所有交付账户和接收账户的持有人都必须在转移表格上签名。对于不同名称或类型的转移，例如从个人账户到共同账户，从个人账户到信托账户，或其他不同名称的转移，我通过下方签名授权转移。

同名差异：如果您要转移账户，尽管是同一个人，但是您在德美利证券的姓名与交付账户不完全一致，则持有人必须在表格上签署所有使用的姓名。如果您的姓名由于以下一项或多项原因而更改，则应使用此节：结婚、离婚、姓名拼写错误或任何类型的姓名更改，包括Jr.、Sr.等。对于姓氏差异，您必须连同转移表格提供合法的文件；例如国家签发的驾驶执照、护照或政府身份证。我在下方签名授权转移。

Sign Here 请在此处签名

Original signatures are required; electronic signatures and/or signature fonts are not authorized. 必须为原始签名; 不接受电子签名及/或字体签名。

Printed Name 印刷体签名:	Owner Signature 持有人签名: X	Date 日期: - -
Printed Name 印刷体签名:	Co-Owner's Signature 共同持有人签名: X	Date 日期: - -
Printed Name 印刷体签名:	Co-Owner's Signature 共同持有人签名: X	Date 日期: - -
Printed Name 印刷体签名:	Co-Owner's Signature 共同持有人签名: X	Date 日期: - -

(Medallion Signature Guarantee - For TD Ameritrade Use Only)



Letter of Acceptance 接受函
(For Office Use Only 仅限内部使用)

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.

Investment Products:

Not FDIC Insured * No Bank Guarantee * May Lose Value

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投资产品：

非FDIC保险 * 非银行保证 * 可能损失价值

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