

# External Transfer Form 外部轉移表

Receiving Firm DTC Clearing Number: 0188

接收券商DTC清算號碼: 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

請注意: 表格必須用英文填寫。用其他文字填寫的表格將不會被接受。若本表格的英文與中文版本內容有任何差異, 以英文版本為準。

請使用此表格完成將您現有賬戶轉移到德美利證券的申請。

## 重要通知:

請附上轉出賬戶的最新對賬單。

- 如果您要求從合格退休計劃進行轉帳, 請聯繫計劃管理員。您可能不需要此表格。
- 如果要在兩個德美利證券賬戶之間進行轉帳, 請使用內部轉帳表格。
- 如果您是從轉讓代理進行轉移, 請使用直接注冊系統(DRS)轉帳表格TDA 100557。
- 如果您要轉移替代投資, 您還需要遞交“替代投資協議”表格TDA 3745, 並且每項資產將收取年度保管費\$250。
- 此表格不適用於從銀行/信用合作社轉出的標準支票賬戶和/或儲蓄賬戶。
- 對於IRA和原持有人死亡時年滿70½歲的受益人IRA, 請附上您的年終對賬單, 以便我們計算該賬戶所需的最低分配。

如有任何問題, 請撥打888-723-8504并選擇4, 致電賬戶轉移代表



## Return Options 寄回方式:

Electronically via Message Center  
從訊息中心電子遞送:

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

登入并進入客戶服務>訊息中心, 將文件加為附件

## Regular Mail 常規郵寄:

PO Box 2760, Omaha, NE 68103-2760

## Overnight Mail 隔夜郵寄:

200 South 108th Avenue Omaha, NE 68154-2631

Fax 傳真: 866-468-6268

## Login and Complete our online form

登入賬戶填寫在綫表格:

[secure.tdameritrade.com/transfers/account](https://secure.tdameritrade.com/transfers/account)

## 1 TD Ameritrade Account Information 德美利證券賬戶信息

TD Ameritrade Account Number:  
德美利證券賬戶號碼:

Account Name/Title (as shown on statement):  
賬戶姓名/名稱(如對賬單所示):

Phone Number:  
電話號碼:

Account Type 賬戶類型 (select one 單選)

- Individual 個人賬戶- (Non IRA 非IRA)
- Joint 共同賬戶
- Trust 信託賬戶
- Estate 遺產賬戶
- Limited Liability 有限責任賬戶
- Corp/Business 公司/企業賬戶
- Traditional IRA 傳統IRA賬戶
- Roth IRA 羅斯IRA賬戶
- SEP IRA 簡化雇員退休賬戶

## 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:  
美國社會安全號碼/稅號:

Co-Owner U.S. Social Security/Tax ID (if applicable):  
共同持有人美國社會安全號碼/稅號(如適用):

Email:  
電子郵件:

## 您的德美利證券賬戶

(您所轉移賬戶的姓名/名稱應與您德美利證券賬戶一致, 且德美利證券賬戶和轉移賬戶的稅號應一致。)

## 2 Delivering Account Information 轉出賬戶信息

Delivering Account Number (only one per form):  
轉出賬戶號碼 (每份表格只限一個轉出賬號):

Delivering Account Name/Title (as shown on statement):  
轉出賬戶姓名/名稱 (如對賬單所示):

## 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:  
轉出公司名稱:

Delivering Firm Physical Address:  
轉出公司實際地址:

## 請提供轉出賬戶信息

(如第一節所示, 德美利證券賬戶和轉出賬戶的注冊和稅號應一致。)



U.S. Social Security/Tax ID:  
美國社會安全號碼/稅號:

City:  
城市:

State:  
州:

ZIP Code:  
郵政編碼:

Co-Owner U.S. Social Security/Tax ID (if applicable):  
共同持有人美國社會安全號碼/稅號(如適用):

Delivering Firm Phone Number:  
轉出公司電話號碼:

Delivering Firm Email (for Foreign Transfers):  
轉出公司電子郵件 (用于國外轉移):

**Account Type 賬戶類型 (select one 單選)**

- Individual 個人賬戶– (Non IRA 非IRA)
- Joint 共同賬戶
- Trust 信托賬戶
- Estate 遺產賬戶
- Limited Liability 有限責任賬戶
- Corp/Business 公司/企業賬戶
- Traditional IRA 傳統IRA賬戶
- Roth IRA 羅斯IRA賬戶
- SEP IRA 簡化雇員退休賬戶

- SIMPLE IRA 簡單個人退休賬戶
- Partnership/Investment club 合夥人/投資俱樂部賬戶
- UGMA/UTMA 向未成年人贈予統一法案監管賬戶  
/向未成年人轉移財產統一法案監管賬戶
- Beneficiary IRA 受益人IRA賬戶
- Beneficiary Roth IRA 受益人羅斯IRA賬戶
- Coverdell ESA 教育儲蓄賬戶
- Qualified Plan (401k, 403B, PSP, etc.) 合格計劃(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](http://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，您可以從[chinese.tdameritrade.com](http://chinese.tdameritrade.com)創建新賬戶，或您必須提供額外文件且所有轉出賬戶持有人必須在第四節簽名。對於非同名稱/注册轉移，請致電888-723-8504并選擇4給轉帳部門獲取額外要求。\*請注意，如果在處理您的轉移中如果出現任何問題，我們將通過安全訊息中心(您須登入賬戶)告知您相關情況。

### 3 Transfer Instructions 轉移指示

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.

請您僅填寫下方的一個部分(A, B, 或 C)  
銀行需要客戶的原始簽名。請郵寄原始表格以完成轉移申請。

#### A. Brokerage Firm/Bank & Credit Union Transfer 經紀公司/銀行與信用社轉移

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，這是由于分數股無法被轉移。有關您的選擇請聯繫轉出公司。

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  
或

**全部轉移** — 要轉移全部賬戶，勾選此處并跳至第4節。選中後，該賬戶將按全部轉移處理，且下方列出的任何指定資產都將被忽略。

Partial Transfer—List specific security and/or cash amount below. If bonds are being transferred, please supply the CUSIP.  
**部分轉移** — 請在下表中列出具體證券和/或現金金額。如果要轉移債券，請提供CUSIP號碼。

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.

如果您想要轉移全部賬戶，請不要在以下表格中列出指定資產。此節僅適用于部分轉移申請。

Asset Description 資產描述	Quantity 數量	Asset Description 資產描述	Quantity 數量
(Cash, symbol or CUSIP) (現金、代號或CUSIP)	(Enter Cash amount, # of whole shares or "ALL") (請輸入現金金額、整股股數或"全部")	(symbol or CUSIP) (代號或CUSIP)	(Indicate # of whole shares or "ALL") (請注明整股股數或"全部")
Unless otherwise specified, TD Ameritrade will transfer the entire account. 除非另行注明，否則德美利證券將轉移整個賬戶	1.	5.	
	2.	6.	
	3.	7.	
	4.	8.	

For additional securities, see attached list. 對於額外的證券，請見附件清單。

## B. Certificates of Deposit & Annuity Transfer 定存和年金轉移

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.

僅限現金轉移。除非另行注明，現金將被全部轉移。

年金和信托公司要求客戶原始簽名。請郵寄原始表格以完成轉移申請。

### Certificates of Deposit (CDs) 定存(CD)

Redeem my CD immediately. I understand that penalties may apply for any withdrawals prior to maturity. 立即贖回我的定存。我瞭解，任何提前提款都可能產生罰金。

Redeem my CD at maturity. Maturity Date: \_\_\_\_\_ 在到期時贖回我的定存。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.

請至少在到期日前21天提交申請。請告知您的銀行不要將定存延期到新的期限。  
請在此章節注明，您是希望立即清倉定存還是在到期清倉。對於有續約截止日期、到期日、退保收費期等的任何投資工具，德美利證券必須在公司截止日期前3周收到適當的文件，以允許適當的處理時間。要結清非退休賬戶中持有的定存，請聯繫持有資產的銀行或信用社。

### Annuity Transfer 年金轉移

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(請選擇一項)

德美利證券不對交付公司處理清算的時間或執行承擔任何責任。

If partial is selected, amount for partial must be included  
如果選擇部分贖回，則必須填寫金額

Full Redeem and terminate entire contract on my behalf, I understand that penalties may apply. 我在此全部贖回并終止了整個合同，我瞭解這可能產生罰金。

Partial Redeem only the penalty-free amount of \$ \_\_\_\_\_ or % 僅部分贖回免罰部分，金額為 \_\_\_\_\_ 或 %

Partial Redeem \$ \_\_\_\_\_ 部分贖回 \_\_\_\_\_

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.

我有想要轉移的年金保單。請代表我贖回并終止。我瞭解并承認，我將對任何提前提款可能造成的任何罰金負責。

## C. Mutual Fund Company Transfer 共同基金公司轉移

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.

專有共同基金和所有無銷售費貨幣市場基金不能以相同形式轉移，必須進行清倉。必須包括確保正確辦理和處理您的共同基金轉帳的聲明。

Unless otherwise indicated, TD Ameritrade will transfer all shares in-kind and reinvest your dividends and capital gains. 除非另行注明，否則德美利證券將以相同形式全額轉移，并將您的股息和資本收益再投資。

Asset Description 資產描述 (symbol or CUSIP) (代號或CUSIP)	Mutual Fund Account # 共同基金賬戶號碼	Quantity 數量 (Enter # of shares or "ALL") (請輸入股數或“全部”)	Handling 處理方式 (Check one) (單選)	Gains & Dividends 收益與股息 (Check one if In-Kind) (如果是“相同形式”請勾選其一)
1.			<input type="radio"/> In-Kind 相同形式 <input type="radio"/> Liquidate 清倉	<input type="radio"/> Reinvest 再投資 <input type="radio"/> Cash 現金
2.			<input type="radio"/> In-Kind 相同形式 <input type="radio"/> Liquidate 清倉	<input type="radio"/> Reinvest 再投資 <input type="radio"/> Cash 現金
3.			<input type="radio"/> In-Kind 相同形式 <input type="radio"/> Liquidate 清倉	<input type="radio"/> Reinvest 再投資 <input type="radio"/> Cash 現金
4.			<input type="radio"/> In-Kind 相同形式 <input type="radio"/> Liquidate 清倉	<input type="radio"/> Reinvest 再投資 <input type="radio"/> Cash 現金

For additional securities, see attached list. 對於額外的證券，請見附件清單。

### Initial Here 姓名首字母

Initial here to authorize liquidation of proprietary mutual funds. 在此處簽署姓名首字母，以授權清倉專有共同基金

\* 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，否則我授權轉移結清我賬戶中任何不可轉讓型專有貨幣市場和共同基金資產，并將所得的現金餘額轉入我在德美利證券的賬戶中。

If the fund is unable to be held by TD Ameritrade, I (please initial here) \_\_\_\_\_ authorize the Transfer to liquidate and transfer as cash. 如果德美利證券無法持有該基金，我(請在此簽署姓名首字母) \_\_\_\_\_ 授權轉移方進行清倉并以現金方式轉移。

# 4

## TD Ameritrade Client Authorization (Required) 德美利證券客戶授權(必填)

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

賬戶注册中所指示的所有德美利證券賬戶持有人(客戶或受托人)·都必須在此節簽名。

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.

除非上述說明中另行注明·否則請將所有資產以“相同形式”轉入我在德美利證券的賬戶中。我瞭解·如果我賬戶中的任何資產無法立即轉移·無論是否有任何罰金·此類資產可能無法在適用法規要求的時間範圍內轉移。我瞭解·如果有任何資產無法轉移·轉出和/或接收公司將與我聯繫。我授權轉移人從現金餘額中扣除任何由于轉移產生的未付費用·或者如果賬戶中的現金餘額不足以支付任何未付費用。如果我賬戶中的憑證或其他工具由您實際持有·當我指示時將按照我的指示·令轉移人以良好可交付形式將其轉移·包括附加任何必要的免稅條款·使繼承監管人能夠以其名義轉移·并以便在我指定的時間出售。我瞭解·收到此轉移指示的副本後·對於全部賬戶轉移·轉移人將凍結我的賬戶并取消所有未成交訂單。我也瞭解·新訂單將不被接受。我確認我已經將所有與我賬戶相關的信用卡/借記卡和/或未使用的支票銷毀或退還給轉移人。

如果此德美利證券賬戶是合格的退休賬戶·我已修改適用的計劃以指定繼任監管人。或者·如果此德美利證券賬戶是個人退休賬戶(IRA)·我已採用IRA計劃·以命名繼承監管人。

**注册差异:** 所有交付賬戶和接收賬戶的持有人都必須在轉移表格上簽名。對於不同名稱或類型的轉移·例如從個人賬戶到共同賬戶·從個人賬戶到信託賬戶·或其他不同名稱的轉移·我通過下方簽名授權轉移。

**同名差异:** 如果您要轉移賬戶·儘管是同一個人·但是您在德美利證券的姓名與交付賬戶不完全一致·則持有人必須在表格上簽署所有使用的姓名。如果您的姓名由于以下一項或多項原因而更改·則應使用此節: 結婚、離婚、姓名拼寫錯誤或任何類型的姓名更改·包括Jr.·Sr.等。對於姓氏差异·您必須連同轉移表格提供合法的文件; 例如國家簽發的駕駛執照、護照或政府身份證。我在下方簽名授權轉移。

### Sign Here 請在此處簽名

Original signatures are required; electronic signatures and/or signature fonts are not authorized. 必須為原始簽名; 不接受電子簽名及/或字體簽名。

Printed Name 印刷體簽名:	Owner Signature 持有人簽名: X	Date 日期: - -
Printed Name 印刷體簽名:	Co-Owner's Signature 共同持有人簽名: X	Date 日期: - -
Printed Name 印刷體簽名:	Co-Owner's Signature 共同持有人簽名: X	Date 日期: - -
Printed Name 印刷體簽名:	Co-Owner's Signature 共同持有人簽名: X	Date 日期: - -

(Medallion Signature Guarantee - For TD Ameritrade Use Only)



**Letter of Acceptance 接受函**  
(For Office Use Only 僅限內部使用)

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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投資產品：

非FDIC保險 \* 非銀行保證 \* 可能損失價值

德美利證券公司和TD Ameritrade Clearing, Inc.是 FINRA/SIPC 成員，也是Charles Schwab Corporation的子公司。德美利證券是由 TD Ameritrade IP Company, Inc. 和 Toronto-Dominion Bank 共同擁有的商標。©2023 Charles Schwab & Co. Inc.版權所有