

Transfer assets from another brokerage

Steps to transfer your assets to ShareBuilder:

1 COMPLETE the entire form. Enter information by hand or type directly onto the form in your browser.

2 INCLUDE a copy of your most recent statement from the other brokerage and all other required documents which might include a second page of listed assets and a Letter of Authorization for a registry change.

3 SIGN the form in front of a Notary Public or in the presence of someone able to provide a Medallion signature guarantee.

4 SEND in your forms, by fax or mail. Please allow 3-4 weeks for completion of transfer.



FAX documents to:

ShareBuilder fax number
(available 24 hours per day)
866.996.6417 or 206.805.0791



MAIL documents to:

ShareBuilder Securities Corporation
P.O. Box 4249
Seattle, WA 98194-0249

Frequently asked questions

ShareBuilder Customer Care: 1.800.747.2537

What assets am I able to transfer to ShareBuilder?

Review our online list of over 7,000 stocks and exchange-traded funds (ETFs) before completing your form to verify that your securities are transferable.

NOTE: Most assets, including options and select mutual funds, can be transferred. To transfer options, please contact Customer Service.

What if the account type and/or account holder names do not match?

Transfers can occur between like accounts (i.e. Individual to Individual, Roth IRA to Roth IRA). If you wish to transfer an account with a different account type, such as a Joint account to an Individual account you must also complete a Letter of Authorization.

NOTE: If using a Letter of Authorization, transfers between unlike accounts can only take place on Individual to Joint and Joint to Individual accounts.

How long will the account transfer take?

Once ShareBuilder receives your paperwork, a message will be posted to your account. Transfers between brokerages generally take between 3 to 4 weeks to be completed.

If there is a problem with your paperwork, another message will be posted to your account informing you of the problem and how to correct it.

What is the difference between a Notary seal and a Medallion

signature guarantee?

A Medallion signature guarantee is a stamp provided by a financial institution to verify that a signature is valid. You can obtain a Medallion Signature Guarantee at a commercial bank, credit union, brokerage firm, savings association, or any financial institution who is an approved member.

A Notary seal is provided by a Notary Public, a person who is authorized by the government to verify written documents. You can usually find such a person either at a financial institution (such as a bank or credit union) or in your local phone directory.

How much does a transfer to ShareBuilder cost?

ShareBuilder does not charge for accounts being transferred from another brokerage firm.

NOTE: The brokerage firm you are transferring from may charge you a fee for transferring out.

What if I have more securities to list than there is space provided?

We have included an Additional Sheet for Transferring Securities form for you on page 3. You will only need to use this page if you are looking to transfer more than 5 securities to your ShareBuilder account.

"TO" (ShareBuilder) account information

Account type: Individual Joint Custodial Coverdell ESA Traditional IRA Roth IRA

ShareBuilder Account Number: _____ - _____ - _____ (example: 1000-1234567890-01)

Account Owner: Social Security Number: _____ - _____ - _____

Secondary Account Owner (Joint/Custodial only): Social Security Number: _____ - _____ - _____

NOTE: The account type for both the "FROM" section and the "TO" section must match exactly. If not, you must also fill out a Letter of Authorization form.

"FROM" (other brokerage) account information

Account type: Individual Joint Custodial Coverdell ESA Traditional IRA Roth IRA Other

Account Owner: Account Number:

Firm Name: Firm Phone:

Firm Address:
Street Address City, State, Zip

Secondary Account Owner (Joint/Custodial only):

Assets to be transferred

Step 1: Type of transfer: (Select only one)

- Full** — transfer all account assets. Skip to **Step 2** to list ALL securities to be transferred.
- Partial** — transfer only partial cash \$ and/or securities listed below.
- Liquidate assets and send all cash**

Step 2: Securities to transfer—Indicate what stocks you wish to transfer.* Verify that your securities may be transferred by looking at each quote on the ShareBuilder web site.

Security Name	Symbol	Quantity (whole shares only)
.....
.....
.....
.....
.....

*All positions are transferred in kind. More to list? See page 3.

- ShareBuilder cannot complete your transfer without these documents:
1. **Copy of your most recent statement** from your current brokerage (required for all transfers)
 2. **Additional Sheet for Transferring Securities** (if necessary)
 3. **Letter of Authorization** (if required)

Authorization and signature

We require the notarized signature of ALL account owners in order to transfer your assets. If the account type on the "FROM" account and the ShareBuilder "TO" account do not match exactly, you MUST complete a Letter of Authorization. Your signature(s) indicate(s) your understanding of and agreement to this transaction.

I/We authorize ShareBuilder Securities Corporation to transfer the assets specified in the above form (and on the attached form if applicable), from the brokerage listed in the "FROM" section, to the ShareBuilder account listed in the "TO" section.

<p>X</p> <p>SIGNATURE _____ DATE _____</p> <p>Signature guarantee or notary (required)</p>	<p>X</p> <p>SIGNATURE _____ DATE _____ (joint owner)</p> <p>Signature guarantee or notary (required)</p>
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