

# J.P.Morgan Account Transfer Request

**J.P. Morgan Securities LLC**  
Member FINRA and SIPC

You can submit this form and any attachments by:

**Secure Message**  
For instructions on how to submit this request by secure message, visit [www.chase.com/brokerageforms](http://www.chase.com/brokerageforms).

**Mail**  
J.P. Morgan Securities LLC  
Attn: Transfer - WM  
10 S. Dearborn St.  
Chicago, IL 60603

**If you have questions, please send us a secure message on chase.com.**

## Use this form to

- Transfer assets to J.P. Morgan Securities LLC (**JPMS**) from another financial institution. Financial institutions include brokerage firms, trust companies, mutual fund companies, banks, insurance companies, credit unions and transfer agents.

## What you need to know

- You must attach a complete copy of your most recent account statement (**dated within 90 days**) from the delivering account. **This request cannot be processed without the delivering account statement.**
- You can review/modify your dividend and capital gains settings after your transfer is complete. Sign in to chase.com and select "Profile & Settings – Dividends and Capital Gains."
- If you are transferring several mutual funds and have multiple account numbers, enter "Multiple accounts" where you are asked for the account number in Section 1B and list each individual mutual fund account number under Option B, "Transfer from a Mutual Fund Company," in Section 3.
- Don't use this form to complete a rollover from your employer-sponsored retirement plan, convert a Traditional IRA to a Roth IRA, or move funds between two JPMS accounts.

## 1. Tell Us About Your Accounts

### A. RECEIVING JPMS ACCOUNT

Receiving Firm Name

JPMS Account Number

Account Holder Name(s) (AS IT APPEARS ON YOUR STATEMENT)

Primary Account Holder's Social Security or Tax ID Number

Joint Account Holder's Social Security or Tax ID Number (if applicable)

#### JPMS Account Type (select one)

- Individual (non-IRA)
- Joint (*Ensure Joint Account Holder's name is included in the Account Holder Name above and add Joint Account Holder's Social Security or Tax ID number.*)
- Trust
- Traditional IRA
- Roth IRA
- Money Purchase Pension Plan/Profit Sharing Plan
- SEP-IRA
- Other (specify):

### B. DELIVERING (NON-JPMS) ACCOUNT

Name of Financial Institution You're Transferring Assets From

Account Number of Account You're Transferring Assets From

Account Holder Name(s) (AS IT APPEARS ON YOUR STATEMENT)

Primary Account Holder's Social Security or Tax ID Number

Joint Account Holder's Social Security or Tax ID Number (if applicable)

#### What type of account are you transferring from? (select one)

- Individual (non-IRA)
- Joint (*Ensure Joint Account Holder's name is included in the Account Holder Name above and add Joint Account Holder's Social Security or Tax ID number.*)
- Trust
- Traditional IRA
- Roth IRA
- Money Purchase Pension Plan/Profit Sharing Plan
- SEP-IRA
- Other (specify):

#### Do the Account Holder Names and Account Types MATCH EXACTLY between Sections 1A and 1B above? (select one)

- Yes → proceed to Section 3.
- No → proceed to Section 2.

**INVESTMENT AND INSURANCE PRODUCTS:**  
• NOT A DEPOSIT • NOT FDIC INSURED • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY  
• NO BANK GUARANTEE • MAY LOSE VALUE

# J.P.Morgan Account Transfer Request

## 2. Name and Registration Differences (complete only if applicable)

Complete this section **ONLY** if the Account Holder Name(s) and/or Account Type you are transferring **DO NOT MATCH** your JPMS account (including a transfer between a joint account and an individual account). All Account Holders must sign here.

*Some registration differences may not be eligible for transfer.*

*Notary sections must be completed by a notary public. Each signature requires its own notarization. (Two Account Holder signatures require two notarizations.)*

By signing below, I/we authorize the transfer of my/our account listed in Section 1B (Delivering (Non-JPMS) Account) to my/our account at JPMS listed in Section 1A (Receiving JPMS Account). By signing below, I/we agree to indemnify and hold harmless JPMS, its officers, directors, employees, agents and affiliates, from and against any and all losses, claims and financial obligations resulting from JPMS acting on the instructions provided herein.

\_\_\_\_\_

Primary Account Holder Signature

\_\_\_\_\_

Date (month/day/year)

\_\_\_\_\_

Joint Account Holder Signature (if applicable)

\_\_\_\_\_

Date (month/day/year)

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

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STATE OF \_\_\_\_\_ )  
COUNTY OF \_\_\_\_\_ ) SS:  
Subscribed, sworn to and acknowledged before me by  
\_\_\_\_\_  
Name of Document Signer (above)  
this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
Day Month Year  
\_\_\_\_\_  
Signature of Notary Public  
Place Stamp Here  
My commission expires \_\_\_\_\_

STATE OF \_\_\_\_\_ )  
COUNTY OF \_\_\_\_\_ ) SS:  
Subscribed, sworn to and acknowledged before me by  
\_\_\_\_\_  
Name of Document Signer (above)  
this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
Day Month Year  
\_\_\_\_\_  
Signature of Notary Public  
Place Stamp Here  
My commission expires \_\_\_\_\_

\_\_\_\_\_

Your Name

\_\_\_\_\_

Your JPMS Account Number

### 3. What Type of Transfer Are You Requesting?

**Complete only one section: A, B, C or D.**

Your delivering account statement is the best source of information about what type of transfer you should select.

**Option A: Transfer from a Brokerage Firm or Trust Company** – Look for the words "Broker/Dealer" or "Trust Company" on your statement.

**Option B: Transfer from a Mutual Fund Company** – Mutual funds held directly at a Mutual Fund Company often have their own account numbers.

**Option C: Transfer from a Bank/Credit Union or Insurance Company/Annuity** – Look for "checking," "savings," "CD" or "annuity" on your statement.

**Option D: Transfer from a Transfer Agent (DRS)** – The largest transfer agents are Computershare/BNY Mellon, American Stock Transfer & Trust, Equiniti Trust, Continental Stock Transfer & Trust, and Broadridge Corporate Issuer Solutions.

*Some proprietary mutual funds and money market funds must be liquidated before the transfer can be completed. We'll contact you if this is necessary.*

**If you need more room to list assets in Option A or B, complete the Additional Assets page at the end of this form – sign and date the page.**

**Option A**  
**Transfer from a Brokerage Firm or Trust Company**

- Transfer all assets in my account (including cash).  
*(Please proceed to Section 4 – do not complete the table below.)*
- Transfer only the cash and/or securities listed below. For securities, only whole shares may be transferred unless you indicate that you want "All" shares transferred, which would include fractional shares.

# of Shares or "All"	Symbol/CUSIP or "Cash"	Security Description

**Option B**  
**Transfer from a Mutual Fund Company**

- Transfer only the mutual funds listed below.

Mutual Fund Account Number	# of Shares or "All"	Symbol/CUSIP

**Option C**  
**Transfer from a Bank/Credit Union (Checking, Savings or CD) or Insurance Company/Annuity**

- Transfer all the cash from my account.
- Transfer only the following dollar amount from my account.

Dollar Amount

- Transfer my CD proceeds at maturity date, which cannot be more than 60 days in the future.

CD Maturity Date (month/day/year)

- Liquidate my CD or annuity and transfer all the proceeds immediately. I acknowledge that I may incur surrender or other charges, taxes and/or penalties.

- Liquidate the following dollar amount from my annuity and transfer the proceeds. I acknowledge that I may incur surrender or other charges, taxes and/or penalties. (JPMS does not hold annuities in brokerage accounts.)

Dollar Amount

**Option D**  
**Transfer from a Transfer Agent via the Direct Registration System (DRS)**

- Transfer all whole shares in the account and sell fractional shares. The transfer agent will send a check for the redeemed fractional shares directly to you at your address of record. *(Please proceed to Section 4 – do not complete the table below.)*
- Transfer all whole shares in the account and leave fractional shares at the transfer agent. *(Please proceed to Section 4 – do not complete the table below.)*
- Transfer only the security listed below.

# of Whole Shares	Symbol/CUSIP	Security Description

**Important information about the sale of fractional shares.** The sale of fractional shares by a Transfer Agent could result in a taxable distribution to you. Under IRS regulations, rolling over the proceeds from the sale of fractional shares in an IRA into another IRA could prohibit the rollover of other IRA distributions for up to one year. Likewise, an IRA-to-IRA rollover made less than a year ago also could prohibit you from rolling over the sale proceeds. Talk to your own tax or legal professional about the tax consequences of IRA distributions – or any other brokerage transactions – and contact your Transfer Agent with questions regarding income tax withholding or information reporting.

  
 Your Name

  
 Your JPMS Account Number

## 4. Authorization for Transfer of a Qualified Retirement Plan Account

This section is required if you transfer your employer-sponsored qualified retirement plan's assets to an employer-sponsored qualified retirement plan (e.g., Money Purchase Pension Plan or Profit Sharing Plan) account at JPMS. Please have the plan trustee complete this section.

As trustee, by signing below, I authorize the transfer of the qualified retirement plan account to the J.P. Morgan Securities LLC investment account described in Section 1.

Trustee Signature

Date (month/day/year)

## 5. Account Holder Signature(s)

By signing below, I agree and understand that:

- I have read and am bound by JPMS' terms and conditions regarding the transfer of my assets from another financial institution. If the account is a retirement account, I certify that the retirement account is eligible to be transferred to the account I have with JPMS.
- JPMS does not accept and will not act as custodian of, and for, any assets that are not actually transferred to JPMS. JPMS specifically does not approve any notation on the books and records of any entity, including, but not limited to, any mutual fund company that indicates, implies and/or states that JPMS is the custodian of any assets held away from JPMS.
- JPMS may restrict the transfer of certain securities at its discretion.
- The following assets, the list of which is subject to change at any time, are **not** eligible for transfer into any JPMS accounts, including J.P. Morgan Self-Directed Investing accounts: annuity contracts, futures, notional investments/memo positions (e.g., credit default swaps, TBA (to be announced) contracts, time deposits), life insurance and penny stocks. The following J.P. Morgan Self-Directed Investing account assets, the list of which is subject to change at any time, are also **not** eligible for transfer: cash overdrafts, short security positions, physically held securities considered non-transferable (unpriced, no agent, invalid security identifier), alternative investments (includes any non-publicly traded stock or bond), legal documents/contracts, partnership shares, margin balances and structured notes.
- In the event that any ineligible assets are included in my transfer request to JPMS, I may not be able to liquidate such assets and/or JPMS may return such assets to me.
- For transfers into managed accounts, I authorize and direct JPMS to sell or exchange these assets and rebalance the account, and I understand that this may generate taxable gains or losses. JPMS may not readily be able to sell certain securities transferred into the account, in which case JPMS reserves the right to hold those securities in the account and disregard the value of those securities in determining whether the account has met the initial and ongoing program minimum account balances.

**TO DELIVERING FINANCIAL INSTITUTION:** 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 FINRA Rule 11870 or other designated examining authority. Unless otherwise indicated in Section 2 of this form, I authorize you to liquidate any nontransferable proprietary or nonproprietary money market fund assets that are part of my account and transfer the resulting credit balance to JPMS. I understand that if I choose a method of disposition of such assets other than liquidation and transfer, I may become liable for payment of taxes and penalties with respect to such assets. I also understand that I will be notified in writing by the delivering financial institution and/or by JPMS with respect to the disposition of any other assets in my account that are nontransferable. I authorize you to deduct any outstanding fees due you from the credit balance in my/our 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 due you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy any outstanding fees due you. 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 JPMS to transfer them in its name for the purpose of sale, when and as directed by me. Upon receiving a copy of this transfer instruction, the delivering financial institution will cancel all open orders for my/our account on its books. I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me, if any, in connection with the account I have designated for transfer.

Primary Account Holder Signature

Date (month/day/year)

Joint Account Holder Signature (if applicable)

Date (month/day/year)

## THIS SECTION TO BE COMPLETED BY JPMS – Custodial Acceptance

**TO THE PRIOR CUSTODIAN/TRUSTEE:** J.P. Morgan Securities LLC accepts its appointment as successor custodian for the IRA, Money Purchase Pension Plan or Profit Sharing Plan account as indicated in Section 1. The receiving account is maintained under Internal Revenue Code Section 408 or 401, as applicable.

J.P. Morgan Securities LLC Signature (To be signed after the form is submitted by the customer.)

Date (month/day/year)

Your Name

Your JPMS Account Number

List the additional assets to transfer to your JPMS account–sign and date this page.

### Additional Assets

Option A Transfer from a Brokerage Firm or Trust Company			Option B Transfer from a Mutual Fund Company		
# of Shares or "All"	Symbol/CUSIP or "Cash"	Security Description	Mutual Fund Account Number	# of Shares or "All"	Symbol/CUSIP

Primary Account Holder Signature	Date (month/day/year)
Joint Account Holder Signature (if applicable)	Date (month/day/year)

Your Name	Your JPMS Account Number
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This page contains information for your delivering firm. If you are mailing this *Account Transfer Request* form to us, **please include this page along with the copy of your most recent account statement** from the delivering account.

- **CHECK DEPOSITS:**

Write the Account Holder Name and Account Number on the check and mail the check to:

JPMorgan Chase  
JPMS Lockbox 21002  
PO Box 44987  
Indianapolis, IN 46244-0987

- **FED WIRE INSTRUCTIONS:**

CHASE  
ABA # 021000021  
A/C # 066001633  
A/C Name: J.P. Morgan Securities LLC  
For further credit to: A/C Name & A/C Number

- **DTC DELIVERY TO JPMS:**

DTC# 0352 - J.P. Morgan Securities LLC  
Customer Name and JPMS Account Number

- **DELIVERY OF GOVERNMENT WIREABLE SECURITIES:**

JPMS LLC AWM Clearance  
ABA# 021000018  
BK OF NYC/JPMAWM