



# Customer Account Transfer Form Goldman Sachs Execution & Clearing, L.P. (GSEC) Cash / Margin Form

(1) Account Type: Indicate the type of account you are transferring (Check one.)

- Estate Account       Individual Account       Joint Account       Other  
 Corporate Account       Custodian Account (UGMA/UTMA)       Trust Account

GSEC CLEARING NUMBER <b>0501</b>		(2) CARRYING / DELIVERING FIRM CLEARING NUMBER	
(3) GSEC ACCOUNT NUMBER		(4) CARRYING / DELIVERING FIRM ACCOUNT NUMBER	
(5) GSEC ACCOUNT TITLE / REGISTRATION			
(6) NAME OF DELIVERING FIRM		(7) TAX ID / SSN FOR GSEC ACCOUNT	(8) TAX ID / SSN AT DELIVERING FIRM
(9) DELIVERING FIRM STREET ADDRESS		CITY	STATE ZIP CODE

**Check Only One:** (Please follow Delivery Instructions on the back of the form.)

- (10)  **Full Account Transfer:** Transfer my **ENTIRE** account in kind and redeem Proprietary Money Market positions to cash.
- (11)  **Full Liquidation:** Liquidate my entire account and transfer as cash. (Customers electing to liquidate must do so prior to submitting this form to GSEC)
- (12)  **Partial Transfer or  Mutual Fund Transfer:** Please follow the instructions listed. Use one form for each mutual fund company. Attach additional transfer forms if necessary, each form must have client's signature. Unless otherwise indicated, GSEC will transfer all shares.

NAME OF SECURITY	CUSIP / SYMBOL	# OF SHARES or "All"	TYPE OF TRANSFER	
			In Kind	Liquidate

- (13) **Bank, Savings & Loan, Insurance Co., or Credit Union Transfers.** (Use one form for each account that you are transferring.)
- Transfer all cash in my account.       Transfer only \$ \_\_\_\_\_.  
 Transfer proceeds at Maturity. Maturity Date: \_\_\_\_\_ (Do not submit this form if the maturity date is more than 30 days in the future.)  
 Liquidate CD and transfer proceeds immediately. I acknowledge that I may incur penalties for early withdrawal.  
 Liquidate Insurance Annuity and transfer proceeds to GSEC. I acknowledge that I may incur surrender charges or other charges and penalties. (GSEC does not hold annuities in brokerage accounts.)

**TO THE CARRYING FIRM NAMED ABOVE** – Pursuant to my instructions above, please transfer my account assets to the above indicated receiving organization, which has been authorized by me to make payment to you of the debit balance or to receive payment of the credit balance in my securities account. I understand that to the extent any assets in my security account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by New York Stock Exchange Rule 412 or similar rule of the National Association of Securities Dealers or other designated examining authority. **Unless otherwise indicated,** I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the receiving organization. I understand that you will contact me with respect to the disposition of any other assets in my securities account that are nontransferable. If certificates or other instruments in my securities account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable such receiving organization to transfer them in its name for the purpose of sale, when and as directed by me. **For full transfers** - I further instruct you to cancel all open orders for my securities account on your 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 my securities account.

**(14) A COPY OF YOUR MOST RECENT ACCOUNT STATEMENT FROM THE RESIGNING FIRM IS REQUIRED TO PROCESS THIS TRANSFER.**

(15) CLIENT'S SIGNATURE (OR AUTHORIZED SIGNATURE)	DATE	MEDALLION SIGNATURE GUARANTEE
CLIENT'S SIGNATURE (IF JOINT OR MULTIPLE TRUSTEES)	DATE	

## How to Complete the Customer Account Transfer Form

(1)	<b>Account Type:</b>	Check only one. Check off the type of account that you are transferring your account into.
(2)	<b>Delivering Firm's Clearing Number:</b>	This is the ACAT/DTC clearing number of the firm that currently has your account. If you do not know the number, GSEC will supply it for you.
(3)	<b>GSEC Account Number</b>	This is the GSEC account that will be receiving your assets.
(4)	<b>Delivering Firm's Account Number:</b>	This is the Account Title / Registration that your assets are transferring from. Only one brokerage account may be transferred per form. You must fill out separate transfer forms for each mutual fund family that you are transferring if you are transferring directly from the fund.
(5)	<b>GSEC Account Title / Registration</b>	This is the registration of your receiving GSEC account. It should match the registration of your Account Title / Registration that was set up on the GSEC system.
(6)	<b>Name of Delivering Firm:</b>	Fill in the name of the firm that your account is currently with.
(7)	<b>Tax ID / SSN:</b>	Fill in the Social Security Number or Tax ID of your GSEC account.
(8)	<b>Tax ID / SSN at the Delivering Firm:</b>	This is the Tax ID or SSN that is on the account at the Delivering Firm from which the assets will be delivered.
(9)	<b>Delivering Firm Street Address:</b>	Provide the complete street address of the Delivering Firm. This is necessary so that GSEC can mail your transfer request to the correct address. Failure to provide the Delivering Firm's address can cause delays in the transfer process.
(10)	<b>Full Brokerage Transfer:</b>	Check this box only if you are going to transfer your entire brokerage account in kind, from the Delivering Firm to your account at GSEC. This will close your account at the Delivering Firm. If you checked this box, go down to Client Signature and sign the form. You have completed the transfer form and can now send it in to your investment professional at GSEC.
(11)	<b>Full Liquidation:</b>	Check this box only if you are going to liquidate your entire account and have all of the proceeds sent to your account with GSEC. This will close your account at the Delivering Firm. If you checked this box, go down to Client Signature and sign the form. You have completed the transfer form and can now send it in to your investment professional at GSEC. <b>**Consult with your Tax Advisor before placing any trades.</b>
(12)	<b>Partial Transfer / Mutual Fund Account Transfer:</b>	Check this box only if you want to transfer part of your assets from the Delivering Firm. This includes cash, securities and mutual funds if coming from a brokerage account. In the appropriate box provided, fill in the name of the assets you would like transferred, the symbol if you know it, the number of shares or "All" shares that you would like transferred, and specify if you would like the shares liquidated or transferred in kind. If you have accounts held directly with the mutual fund company, you must fill in a separate transfer form for each mutual fund company that you are transferring from.
(13)	<b>Bank, Savings and Loan, Insurance Co., or Credit Union Transfers:</b>	Check off the appropriate box that corresponds to how you would like these assets transferred. Transfer requests on assets that are maturing should be sent to GSEC. between 2 to 4 weeks before maturity. Anything over 4 weeks may be returned to you.
(14)	<b>You <u>MUST</u> provide a copy of your most recent statement:</b>	<b>(Should be no older than 3 months).</b> Failure to do so could result in your paperwork being rejected or, if processed, delayed because the assets you hold in the delivering account do not correspond to the statement.
(15)	<b>Client's Signature:</b>	The person signing the form should match the name listed on the Account Title/ Registration of the account at the Delivering Firm and this should also match the name on the statement being provided. If the person signing the form is not on the Account Title/ Registration at the Delivering Firm, the request will be rejected unless the supporting legal documents are provided that authorize this person to sign on behalf of the account.