

Customer Account Transfer Form

PFSI Clearing No: 0158 Receiving Firm - Penson Financial Services, Inc. ("PFSI")

Type of Account: *(Both Accounts Must Match)* Individual Joint Account *(Tenants in Common)* Joint Account *(Rights of Survivorship)*
 Traditional IRA SEP IRA Roth IRA Educational IRA Corporate Partnership Sole Proprietorship
 Investment Club LLC Trust UTMA UGMA

INFORMATION ABOUT YOUR ACCOUNT:

Name(s) on Account or Entity: _____
 OptionsHouse Account Number: _____ SSN, Fed ID, Cedula, NIT# _____

INFORMATION ABOUT THE ACCOUNT YOU ARE TRANSFERRING FROM:

Name(s) on Account or Entity: _____ Broker Clearing Firm: _____
 Your Account Number: _____ Company (Firm) Name: _____
 Address of Firm: _____

TRANSFER INSTRUCTIONS: You are hereby requested to:

(please choose only one)

- Transfer all assets in kind (Note: Money Market funds must be liquidated and transferred as cash) Transfer proceeds of Certificates of Deposit AT MATURITY (Note; Submit this transfer no earlier than 30 days prior to maturity.)
- Liquidate all assets and transfer as cash Liquidate Certificates of Deposit IMMEDIATELY. I am aware of and acknowledge the penalty I will incur from an early withdrawal.
- Partial Transfer (Complete Partial Transfer Instructions below) Liquidate annuity and transfer as cash.

PARTIAL TRANSFER INSTRUCTIONS (IF APPLICABLE):

Quantity	Description/Symbol	Liquidate/Transfer

To the carrying firm named above:
 If this account is a qualified retirement account, I have amended the applicable plan so that it names Penson Financial Services, Inc. (PFSI) as successor custodian. Unless otherwise indicated in the instructions above, please transfer all assets in my account to PFSI. 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 NYSE Rule 412 or similar rule of FINRA or other designated examining authority. I authorize you to liquidate any non-transferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to PFSI. I authorize you to deduct any outstanding fees due you from the credit balance in my 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 that obligation. 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 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, you will cancel all open orders from my account on your books. I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me in connection with my securities account. I understand that you will contact me with respect to the disposition of any assets in my securities account that are non-transferable.

- **** 1. If your OptionsHouse account is not the same type of account as the one you are transferring, you must complete a Change in Ownership Form.**
- 2. A copy of your most recent statement is required to process this transfer. Please attach it to this form. ******

Signature of Primary Account Holder: X Date: X

Signature of Joint Account Holder: X Signature Guaranteed by: _____
 (if applicable): (Medallion Signature Guarantee Program):

Letter of Acceptance: To the prior Custodian/Trustee: Please be advised that Penson Financial Services, Inc. ("PFSI") hereby accepts an appointment as successor custodian.
Successor Custodian/Trustee Authorized Signature: _____ Date: _____
Tax ID Number Successor Custodian: _____ Date of Trust: _____

Mutual Fund Dividend and Capital Gains Option:
 Reinvest Dividend/ Capital Gains Reinvest All Cash

Deposit to Existing Plan: _____