CLEAR PRINT

Transfer Your Account to Schwab
將您的帳戶轉存到嘉信理財

Schwab.com

1-800-464-6093
(inside the U.S.)
（美國境內）

+1-415-667-8400
(outside the U.S.)
（美國境外）

1-888-686-6916
(multilingual services)
（多語服務）

We're here to help.
我們隨時為您提供協助。

When to use this form:
什麼時候適合使用本表格：

- Use this form to transfer securities and/or funds from another financial institution (e.g., brokerage firm, mutual fund company, bank or insurance company) into your Charles Schwab & Co., Inc. ("Schwab") account.
  請使用本表單將另一個金融機構（例如證券經紀公司、共同基金公司、銀行或保險公司）的證券及/或資金轉存至您在嘉信理財有限公司（下稱「嘉信理財」）的帳戶。
- To see if your account is eligible for online transfers, go to **schwab.com/transfer** and log in.
  如想瞭解您的帳戶是否符合線上轉存的資格，請至 **schwab.com/transfer** 並登入。
- To roll over assets from a 401(k) or other qualified employer-sponsored retirement plan, please call a Schwab Rollover Consultant at 1-877-412-6116.
  如需轉存 401(k) 或其他由雇主贊助且符合資格的退休計劃，請致電與嘉信退休計劃轉存顧問聯絡，電話 1-877-412-6116。
- If you want to open a new Schwab account, please attach a completed Open a Schwab One® Account application to this form.
  若您想要開設新的嘉信帳戶，除本表格外，請另外附上一份填寫完成的 Schwab One® 帳戶申請表。
- International transfers can be initiated by visiting **international.schwab.com**.
  若需進行跨國資產轉存，請至 **international.schwab.com**.

Please Remember: 請注意：

- **The names on the account you're transferring should be identical to those on your Schwab account. If they do not match, you may need to provide one or more of the additional documents listed in Section 2.**
  您要轉存的帳戶姓名必須與您嘉信帳戶的姓名完全相同。若兩者不一致，您可能需要提供一份或以上第 2 節所述的其他補充文件。
- **You must attach a copy of your most recent account statement (dated within 90 days) for the account you wish to transfer.**
  請您附上一份您希望轉存的帳戶的近期結單副本（日期需在 90 天內）。
- **For Sections 3 - 6, please complete only one section and continue to Section 7.**
  第 3 至 6 節只要填寫其中一個節即可，完成後接著填寫第 7 節。
- **A separate Transfer Your Account to Schwab form must be used for each account you are transferring.**
  您欲轉存的每一個帳戶均需單獨填寫一份「將您的帳戶轉存到嘉信理財 」表格。
- **Return instructions are found on page 5.**
  退回指示請見第 5 頁。
- **IMPORTANT NOTE: Chinese translation is provided for reference only, please fill in the form in English only. Forms completed in any other languages will be rejected.**
  重要提示：中文翻譯僅供參考，請用英文填寫。以其他語言填寫的表格將被拒絕。

1 Tell Us About Your Schwab Account (Required) 請提供您的嘉信帳戶資料（必填）

If you are opening a new Schwab account, you can leave the Schwab account number field blank.
若您要開立新的嘉信帳戶，嘉信帳戶號碼欄位可留空白。

Name(s) *(Please list all names as they appear on your account.)*
姓名 *（請列出您帳戶上出現的所有姓名。）*

Account Type/Registration 帳戶類型/登記註冊	**Schwab Account Number** 嘉信帳戶號碼	**Social Security/Tax ID Number** 社會安全號碼/納稅識別號碼

2 Tell Us About the Account You're Transferring (Required) 請提供您的嘉信帳戶資料（必填）

If the names listed here do not match those listed on your Schwab account, you may need to attach additional documentation and/or have those signatures notarized.
若此處所列的姓名與您在嘉信帳戶上所列的姓名不相符，您可能需要額外附加其他文件及/或為您的簽名取得公證。

Name of Firm, Mutual Fund Company or Insurance Company
公司、共同基金或保險公司名稱

Delivering Firm Telephone Number
遞送機構電話號碼
___ - ___ - ___

Name and Title of Account *(as shown on your account)*
帳戶持有人姓名與帳戶名稱 *（如帳戶上所示）*

Account Number
帳戶號碼

Account Type/Registration
帳戶類型/登記註冊

Additional Documents
其他補充文件

If the name(s) on your Schwab account differs from the name(s) on the account that you wish to transfer, you may need to provide additional documentation. Trust discrepancies may require additional documentation not listed below.
若您的嘉信帳戶姓名與您要轉存的帳戶姓名不一致，您可能有必要提供其他補充文件。信託差異有可能要求提供其他補充文件。

☐ **Last name changed.** Please provide a certified marriage certificate, certified divorce decree or other certified court document.
姓氏變更。請提供一份經過認證的結婚證明書、經過認證的離婚判決書或其他經過認證的法庭文件。

☐ **First/middle name changed or listed differently.** Please provide a court document or second-name letter.
名/中間名變更或列出的名字不同。請提供一份法庭文件或別名信。

For Sections 3 - 6, complete only one section and continue to Section 7.
第 3 至 6 節只要填寫其中一個節即可，完成後接著填寫第 7 節。

3 Credit Union, Bank, Brokerage, Trust Company, and/or Dividend Reinvestment Transfers (If Applicable) 信用合作社、銀行、證券經紀公司、信託公司及/或股息再投資轉存（若適用）

If your cash is held in a checking and/or savings account, please deposit a check instead of completing this form.
若您的現金存放在支票及/或儲蓄帳戶內，請改用存入支票的方式，不必填寫這份表格。

Attach additional pages if needed.
若有需要可額外附加頁面。

Do not complete this section if you have a CD or annuity transfer. Complete Section 4 or 5.
若您有存款單或年金欲轉存，請不要填寫這一部份。填寫第 4 或第 5 節。

Amount of Transfer: 轉存金額：

☐ **Full. Transfer my entire account in kind.** (Includes cash and/or money market balances.)
全部。以實物轉存我整個帳戶。（包含現金及/或貨幣市場結餘。）

☐ **Partial Transfer.** Transfer $___________ (cash amount) and/or the assets listed below.
部分轉存。轉存金額 $_______________（現金金額）及/或下方所列資產。

Name, Symbol, or CUSIP # (stocks, bonds, money market, etc.) *(partial transfers only)* 名稱、代號或 CUSIP 號碼（股票、債券、貨幣市場等等） *（僅限部分轉存）*	Number of Shares or "ALL" 股份數量或「全部持股」

4 Liquidate Certificate of Deposit (CD) and Transfer Cash (If Applicable) 出售存款單並轉存現金（若適用）

I am aware of and acknowledge any penalty I will incur from early withdrawal. It is my decision to proceed with this request. I understand that all bank-held and credit union - held CD requests should be submitted two to three weeks before maturity date and that requests should not be submitted earlier than 30 days before maturity
我瞭解並同意提前提領可能產生罰款。我決定繼續完成這筆申請。我瞭解，所有由銀行信用合作社持有的存款單出售申請，均需在到期日前二至三週提交，且最早提交時間為到期日前 30 天，不能更早。

4. Liquidate Certificate of Deposit (CD) and Transfer Cash (If Applicable) (Continued) 出售存款單並轉存現金（若適用）（續 ）

You may only select one choice.
您只能選擇一個選項。

You may be charged a penalty for early withdrawal.
提前提領可能被收取罰款。

Liquidate my CD immediately and transfer cash: 立即出售我的存款單並轉存現金：

☐ **All.** Transfer my entire CD proceeds: $____________________ (expected value of my CD proceeds).
全部。轉存我的存款單出售的所有收益： $____________________ （我的存款單出售所得收益的期望值）

☐ **Partial.** Transfer only $____________________ of my CD proceeds.
部分。僅轉存 $____________________ 出售我的存款單所得的收益。

Liquidate my CD at maturity ______ / ______ / __________ *(mm/dd/yyyy)* **and transfer cash**:

到期時出售我的存款單 ______ / ______ / __________ *（月/日/年）* **並轉存現金 ：**

☐ **All.** Transfer my entire CD proceeds: $____________________ (expected value of my CD proceeds).
全部。轉存我的存款單出售的所有收益： $____________________ （我的存款單出售所得收益的期望值）

☐ **Partial.** Transfer only $____________________ of my CD proceeds.
部分。僅轉存 $____________________ 出售我的存款單所得的收益。

5 Surrender or Liquidate Annuity and Transfer Cash (If Applicable)
解約或出售年金，並轉存現金（若適用）

Do not complete this section if you are making a 1035 annuity exchange. For all 1035 annuity exchanges, call 1-888-311-4887.
若您要進行 1035 年金交換，請不要填寫這一部分。所有 1035 年金交換請致電 1-888-311-4887。

All annuities must be surrendered or liquidated and the proceeds transferred to Schwab, which could result in negative tax consequences, penalties and fees. Before signing this form and liquidating your existing annuity, you should discuss the implications with your own tax or estate planning professional. You may still proceed with the annuity surrender if you have determined to direct us to process the transaction, but it will be without the recommendation of Charles Schwab & Co., Inc. If you elect to proceed with the annuity surrender, please sign and return this form. If you have any questions, please contact your Schwab Representative.
所有的年金均需解約或出售，所得收益轉存至嘉信，可能產生稅金、罰款與費用。請在簽署本表格及出售您現有的年金前，與您的稅務顧問或遺產規劃專業人員先討論可能造成的相關影響。若您已決定指示我們處理這筆交易，您仍然可以繼續完成年金解約，但這並非嘉信理財的建議。若您選擇繼續完成年金解約，請在表格上簽名並交回。若您有任何疑問，請與嘉信的服務代表聯絡。

For annuities not held in an IRA account, Section 1035 of the Internal Revenue Code may allow you to make a tax-free exchange of one annuity contract for another annuity contract. Contact your tax or estate planning professional before liquidating.
對於非個人退休帳戶持有的年金，根據美國內地稅法 (Internal Revenue Code) 第 1035 條的規定，您可以將一份年金合約免稅換為另一份年金合約。請在出售前聯絡您的稅務或遺產規劃顧問。

Liquidate my annuity immediately and transfer cash: 立即出售我的年金並轉存現金：

☐ **All.** Transfer my entire annuity proceeds: $____________________ (expected value of my annuity proceeds).
全部。轉存我所有的年金收益： $____________________ （我的年金收益預期值）

☐ **Partial.** Transfer only $____________________ of my annuity proceeds.
部分。僅轉存 $____________________ 我的年金收益。

Liquidate my CD at maturity ______ / ______ / __________ *(mm/dd/yyyy)* **and transfer cash**:

到期時出售我的存款單 ______ / ______ / __________ *（月/日/年）* **並轉存現金 ：**

☐ **All.** Transfer my entire annuity proceeds: $____________________ (expected value of my annuity proceeds).
全部。轉存我所有的年金收益： $____________________ （我的年金收益預期值）。

☐ **Partial.** Transfer only $____________________ of my annuity proceeds.
部分。僅轉存 $____________________ 我的年金收益。

Important Annuity Information: Before signing this form and requesting that your annuity be liquidated and the proceeds transferred to Schwab, please contact your own tax professional. To transfer your annuity assets, a surrender or liquidation of your annuity contract assets must generally occur. This may result in the following consequences: surrender charges, loss of vested living or death benefits, potential impact to your estate plan, taxable earnings and possible tax penalties. Some annuities require the submission of the original policy to complete a transfer; please consult with your insurance company and submit the original policy if needed. By signing this form, I hereby direct Schwab to process the surrender indicated above and indemnify and hold harmless Schwab and its representatives from and against any and all claims, losses, taxes, penalties and costs (including reasonable attorney fees and expenses) arising from or related to my decision to direct Schwab to process this surrender.
重要年金資訊： 簽署本表格，申請出售您的年金，並將收益轉存至嘉信前，請先聯絡您的專業稅務顧問。如需轉存您的年金資產，您必須解約或出售您的年金合約資產。這可能導致下列結果：解約費用、損失既得的生存或死亡給付，或可能影響您的遺產規劃、應稅所得及可能產生的稅務罰款。有些年金要求必須提交原始的保單才能完成轉存。請與您的保險公司聯絡諮詢，若有需要請提交原始保單。簽署這份表格表示我指示嘉信處理上述解約事宜。嘉信與其代表將免於因我指示嘉信處理這筆解約的決定而產生，或與本決定相關的的所有及任何賠償、損失、稅金、罰金與費用（包含合理的律師費用與支出）。

6 Mutual Fund Company Transfers (If Applicable) 共同基金公司轉存（若適用）

Please select only one box.
請只選擇一項。

Type of Transfer 轉存類型

☐ **Full.** Transfer my entire account. (List below all mutual fund account numbers being transferred.)
全部。轉存我整個帳戶。（請在下方列出所有進行轉存的共同基金帳戶號碼）。

☐ **Partial.** Transfer only certain funds. (Complete entire section below.)
部分。僅轉存特定基金。（請填寫下節所有欄位。）

Please list all mutual fund accounts and include a current statement dated within 90 days.
請列出您所有的共同基金帳戶，並附上一份日期在最近 90 天內的結單。

Use a separate transfer form for each mutual fund company.
請為每一間共同基金公司單獨填寫一份轉存表單。

Attach additional pages if needed.
若有需要可額外附加頁面。

Name of Fund, CUSIP and/or Symbol 基金名稱、CUSIP 及/或代號	Fund Account Number 帳戶帳戶號碼	Quantity *(Indicate # of shares or "ALL.")* 數量 *（請說明股份數量或「全部持股」）*	Handling *(Check one.)* 處理方式 *（請只填選一項）*		Future Dividends and Capital Gains* 未來股息及資本利得 *		
			In Kind 實物	Liquidate 出售	Pay Cash 支付現金	Reinvest 再投資	Pay/Reinvest 支付/再投資
			☐	☐	☐	☐	☐
			☐	☐	☐	☐	☐
			☐	☐	☐	☐	☐
			☐	☐	☐	☐	☐

*If you do not select a future dividend and capital gains option, Schwab will transfer all shares requested in kind and reinvest your dividends and capital gains distributions. If dividend reinvestment is not available at Schwab, Schwab will automatically pay all future dividends and capital gains distributions in cash.
*若您未選擇一種未來股息與資本利得的處理方式，嘉信將以實物轉存所有您申請轉存的股份，並將您配發的股息與資本利得再投資。如果嘉信沒有分紅再投資，嘉信將自動以現金支付所有未來股息和資本收益所得。

7 Authorization to Transfer and Account Holder Signature(s) 授權轉存與帳戶持有人簽名

Please read and sign on the following page.
請詳閱下頁並簽署。

To Delivering Firm: Unless otherwise indicated in the instructions in Sections 3 - 6, please transfer all assets in my account to Charles Schwab & Co., Inc. ("Schwab").
至遞送機構： 除非第 3 至 6 節的指示另有說明，否則請將本人帳戶內所有的資產轉存至嘉信理財有限公司（下稱「嘉信理財」）。

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 a similar rule of another designated examining authority. Unless otherwise indicated in the instructions in Sections 3 - 6, 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 successor custodian.
我瞭解，本人帳戶內若有任何資產無法立即轉存，無論有無罰款，此等資產將無法在美國金融業監管局 (FINRA) 規則 11870 或其他指定監察主管機關類似條例所規定的時間內轉存。除非第 3-6 節的指示另有說明，否則我授權嘉信出售帳戶內任何無法轉帳的專有貨幣市場基金，並將其餘額移轉給承接受託人。

I understand that you will contact me with respect to the disposition of any other assets in my securities account that are non-transferable. 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 their 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 for my account on your books.
我瞭解，若本人證券帳戶內有任何其他無法轉存的資產需處置，您將與我聯絡。我授權您從本人帳戶餘額內扣除所有尚未支付的費用。若本人帳戶並無餘額，或帳戶餘額不足以繳交尚未支付的費用，我授權您出售我帳戶內的資產，直到出售所得足以繳交積欠的費用為止。如果嘉信持有本人帳戶內的憑證或其他投資工具，則我指示嘉信將以上憑證與工具以良好的送達形式轉存，包含任何必要的免稅證明，以便承接受託人可在收到我指示時以其名義出售。我也了解嘉信一旦收到這份轉存指示後，將會取消本人帳戶中所有尚待執行的委託訂單。

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.
我證實已銷毀或歸還嘉信任何與本證券帳目有關的信用卡/借記卡，及/或由我的證券帳戶發給我且未使用的支票。

For Retirement Accounts: If this transfer of account is for a qualified retirement account, I have amended the applicable plan so that it names Schwab as successor custodian. If this transfer of account is for an IRA, I hereby adopt or reaffirm my adoption of the Charles Schwab & Co., Inc. Individual Retirement Plan. If I am transferring an IRA and the IRA type indicated on my statement is different from the IRA I currently maintain at Schwab (e.g., Traditional IRA vs. Rollover IRA), I hereby authorize Schwab to commingle my IRA assets.

7. Authorization to Transfer and Account Holder Signature(s) (Continued) 授權轉存與帳戶持有人簽名（續）

個人退休帳戶 (IRA) 若帳戶轉存是為了合格的退休帳戶，我已修改適用的計劃，將嘉信指定為承接受託人。若帳戶將轉存入個人退休帳戶 (IRA)，我在此採用或重新確認我將採用嘉信理財有限公司的個人退休計劃。若我要轉存入個人退休帳戶 (IRA)，但我的結單上所示的個人退休帳戶類型，與我目前在嘉信持有的個人退休帳戶類型不一致（例如傳統個人退休帳戶類型與滾存個人退休帳戶類型），我在此授權嘉信混和我的個人退休帳戶類型資產。

Fees: If the assets I am transferring are considered nonstandard assets at Schwab (such as limited partnerships), I understand that I will be charged set-up and maintenance fees.
費用： 如果我要轉存的資產在嘉信被視為非標準資產（例如有限合夥），我瞭解我將被收取開戶與保款費用。

I understand that fractional shares of stock are nontransferable, and I agree that any fractional shares will be liquidated by the delivering firm upon the transfer of the whole shares. The delivering firm may or may not charge a fee for this liquidation.
我了解，因為碎股無法轉存，我同意遞送機構在轉存整股時，出售所遞送機構有碎股。遞送機構可能會收取售出費用，也可能不會。

I understand that the delivering firm may or may not assess account fees for the transfer and/or termination of my account with them.
我明白，遞送機構可能會為本人處理轉存及/或撤消帳戶的手續而收費，也可能不會。

Mutual Fund Dividends and Capital Gains (Account Transfers Via ACAT Only): I understand that my delivering broker may provide Schwab with mutual fund dividends and capital gains distribution instructions for each mutual fund position so that Schwab may implement these instructions. If the same position is already held in my Schwab account, the dividend instructions will default to the current Schwab choice. In the event that the instructions are not provided by the delivering broker or the dividend and/or capital gains distribution option requested is not available at Schwab, the instructions will default to reinvest (unless reinvestment isn't available, in which case dividends and capital gains will be paid in cash).
共同基金股息及資本收益（只限透過 ACAT 進行的帳戶轉帳）： 本人明白，本人的交付方經紀可能就每一個共同基金給予嘉信理財共同基金股息及資本收益的分派指示，以讓嘉信理財能夠實施該等指示。若本人的嘉信理財帳戶已持有相同基金，股息分派指示將預設為嘉信理財帳戶的現有設定。倘若交付方經紀並未提供任何指示或嘉信理財未提供指定股息及/或資本收益分派的選項，則指示將預設為再投資（沒有提供再投資服務情況下，股息和資本收益將以現金支付）。

Liquidations: I understand that buying and selling securities during the account transfer process may complicate and delay my transfer. Some firms may even "freeze" an account that is in the process of being transferred, meaning that no trades will be permitted until the transfer is complete. As a result, I should avoid trading during the transfer process. If I am concerned about not being able to sell my stock during the transfer process, I should consider selling my stock and waiting until I have received the proceeds before entering the transfer request.
出售： 我瞭解，在帳戶轉存期間買進和賣出證券，可能導致問題更加複雜，拖延我的轉存時間。有些公司甚至會在轉存的過程中「冷凍」一個帳戶，在轉存完成前，不允許任何交易進行。因此，我應該在轉存的過程中避免交易。若我擔心無法在轉存的過程中賣出我的股票，我應該先考慮先出售，等我收到出售的收益後再申請轉存。

Cost Basis: I understand that Schwab will update my account with the cost basis information provided on a transfer statement by a delivering firm. Because the accuracy of cost basis data depends upon these third-party statements, Schwab is not able to guarantee the availability, accuracy, or completeness of such cost basis data. It is my obligation to confirm the accuracy of the information Schwab receives from the delivering firm by visiting Schwab.com or calling Schwab. Cost basis information is intended for residents of the U.S. It may not be available or appropriate for customers who reside outside the U.S.
成本基礎： 我瞭解，嘉信將以遞送機構提供的轉存結單上的成本基礎資料，更新我的帳戶。由於成本基礎數據的正確性以第三方結單為準，嘉信無法保證上述成本基礎數據的可取得性、正確性或完整性。我有義務確認嘉信理財從遞送機構取得的資訊完全正確，請至 Schwab.com 進行確認，或致電與嘉信聯絡。成本基礎適合美國居民使用，可能不適合非美國地區的顧客使用，或無法為其取得。

Important disclosures regarding account discrepancies
關於帳戶不一致的重要資訊揭露。

Name Discrepancies: All account holders or authorized signers of the account(s) listed in Sections 1 and 2 of this form must sign below. If an account holder's name appears differently on either account, the owner must sign the form using all name variations (e.g., maiden name and married name). If there is a name variation, Schwab may require additional documentation before accepting the account, such as a marriage certificate or a divorce decree.
姓名差異：本表格第 1 和第 2 節列出的所有帳戶持有人或帳戶的授權簽署者均需在下方簽名。賬戶持有人在兩個帳戶中的簽名不符，持有人應以各種姓名組合變化簽署表格（例如，婚前姓氏和婚後姓氏）。若姓名有不一致，嘉信可能要求其他文件證明，例如結婚證明書或離婚判決書等，才能接受這個帳戶。

Registration Discrepancies: All account holders or authorized signers of the account(s) listed in Sections 1 and 2 of this form must sign below. By signing below, I/we acknowledge the existence of any differences in account owners and/or account type between the account being transferred into Schwab and the Schwab account. Each individual who signs below is aware of these discrepancies and authorizes Schwab to accept the transfer of assets as indicated on this form. Schwab or the delivering firm may require additional documentation to effect transfers of assets between unlike accounts.
登記差異： 本表格第 1 和第 2 節列出的所有帳戶持有人或帳戶的授權簽署者均需在下方簽名。在下方簽名表示我/我們承認轉出的帳戶與嘉信帳戶的帳戶持有人及/或帳戶類型之間不符。每一個在下方簽名的個體均瞭解這些差異，並授權嘉信依照本表格的說明處理資產的轉存。嘉信或遞送機構可能為了在兩個不同的帳戶間進行資產轉存而要求其他補充文件。

7. Authorization to Transfer and Account Holder Signature(s) (Continued) 授權轉存與帳戶持有人簽名（續）

By signing below, I/we acknowledge that I/we have read and I/we understand this form in its entirety. I/we hereby authorize the transfer of my/our account as listed in Section 2 to the Schwab account listed in Section 1. By signing below, I/we also authorize any name or account discrepancy during the transfer.
在下方簽名表示我/我們承認，我/我們已經閱讀並瞭解本表格的完整內容。我/我們在此授權將第 2 節列出的帳戶，轉存至第 1 節所列的嘉信帳戶。在下方簽署表示我/我們授權在轉存的過程中出現姓名或帳戶不符的情形。

請在此簽署
SIGN HERE

Use blue or black ink.
請使用藍色或黑色筆

All non-Schwab account holders signing this transfer form must have their signatures notarized.
所有簽署本轉存表格的非嘉信帳戶持有人的簽名均需經過公證。

X
Account Holder/Trustee Signature
帳戶持有人/受託人簽名

Print Name *Title, First* *Middle*
請以英文正楷填寫姓名 *頭銜，名字* *中間名*

Print Name *Last, Suffix*
請以英文正楷填寫姓名 *姓氏，後綴*

/ / 2 0
Today's Date *(mm/dd/yyyy)*
簽署日期 *（月/日/年）*

X
Account Holder/Trustee Signature
帳戶持有人/受託人簽名

Print Name *Title, First* *Middle*
請以英文正楷填寫姓名 *頭銜，名字* *中間名*

Print Name *Last, Suffix*
請以英文正楷填寫姓名 *姓氏，後綴*

/ / 2 0
Today's Date *(mm/dd/yyyy)*
簽署日期 *（月/日/年）*

X
Account Holder/Trustee Signature
帳戶持有人/受託人簽名

Print Name *Title, First* *Middle*
請以英文正楷填寫姓名 *頭銜，名字* *中間名*

Print Name *Last, Suffix*
請以英文正楷填寫姓名 *姓氏，後綴*

/ / 2 0
Today's Date *(mm/dd/yyyy)*
簽署日期 *（月/日/年）*

X
Account Holder/Trustee Signature
帳戶持有人/受託人簽名

Print Name *Title, First* *Middle*
請以英文正楷填寫姓名 *頭銜，名字* *中間名*

Print Name *Last, Suffix*
請以英文正楷填寫姓名 *姓氏，後綴*

/ / 2 0
Today's Date *(mm/dd/yyyy)*
簽署日期 *（月/日/年）*

8 Next Steps 下一步

Did you remember to:
請檢查是否已妥當處理以下：

- ☐ Attach a copy of your most recent statement for the account you are transferring?
附上一份您要轉存的帳戶近期的結單副本？
- ☐ Attach any necessary additional documents listed in Section 2?
附上第 2 節列出的其他必要補充文件？

Return instructions
遞交方式

For Clients Residing in the United States:
給居住在美國的客戶：

Please return pages 1 - 5 of this form to your nearest Schwab branch or mail to Charles Schwab & Co., Inc.
請將本表格的 1 至 5 頁寄回嘉信理財。

Regular Mail
普通郵遞
Charles Schwab & Co., Inc.
嘉信理財
Attn: IS Document Control
P.O. Box 982600
El Paso, TX 79998-2600

Regular Mail
普通郵遞
Charles Schwab & Co., Inc.
嘉信理財
Attn: IS Document Control
P.O. Box 628291
Orlando, FL 32862-8291

Overnight Mail
翌日快遞
Charles Schwab & Co., Inc.
嘉信理財
Attn: IS Document Control
1945 Northwestern Drive
El Paso, TX 79912

Overnight Mail
翌日快遞
Charles Schwab & Co., Inc.
嘉信理財
Attn: IS Document Control
1958 Summit Park, Ste. 200
Orlando, FL 32810

8. Next Steps (Continued) 下一步（續）

For International Clients 國際客戶

Please return pages 1-7 of this form by mail to Charles Schwab & Co., Inc.
請將本表格的 1 至 7 頁寄回嘉信理財。

Standard U.S. Mail
美國一般郵件
Attn: International Account Solutions
Charles Schwab & Co., Inc. (嘉信理財)
P.O. Box 982601
El Paso, TX 79998-2601
USA

International Mail/Overnight Delivery
國際郵件/翌日快遞
Attn: International Account Solutions
Charles Schwab & Co., Inc. (嘉信理財)
1945 Northwestern Drive
El Paso, TX 79912-1108
USA

PRINT

FOR DELIVERING FIRM USE ONLY
僅限遞送機構使用

RECEIVING FIRM INFORMATION
接收機構資料

Name and Address 姓名及地址	Tax ID Number 納稅識別號碼	Overnight Mailing Address 翌日快遞郵寄地址	Schwab Clearing Number 嘉信結算號碼
Charles Schwab & Co., Inc. 嘉信理財 IS Document Control P.O. Box 982600 El Paso, TX 79998-2600	94-1737782	Charles Schwab & Co., Inc. 嘉信理財 IS Document Control 1945 Northwestern Drive El Paso, TX 79912	0164

FOR DELIVERING FIRM USE ONLY
僅限遞送機構使用

All DTC-Eligible Securities: All deliveries MUST include client name and Schwab account number.
所有符合存托公司 (DTC) 資格的證券： 所有轉存均須包含客戶姓名與嘉信帳戶號碼。

Delivery to DTC Clearing 0164, Code 40.
轉存至存托公司 (DTC) 結算號碼 0164，編碼 40。

Dividend Reinvestment or Closed-End Mutual Funds: All deliveries MUST reference client name and Schwab account number.
The client's Schwab account number must not be included in the mailing address.
股息再投資或封閉型共同基金： 所有遞送「必須」提供客戶姓名和嘉信帳戶號碼。客戶的嘉信帳戶號碼不得出現在郵寄地址中。

Do not establish an account in the name of Charles Schwab & Co., Inc. FBO (for benefit of) the client.
請勿以嘉信理財客戶的收款人帳戶名稱建立帳戶。

Issue a certificate for all whole shares, liquidate all fractional shares and discontinue dividend reinvestment.
為所有整股發出證明，出售所有零股，並終止股息再投資。

2Physical Delivery of Checks and/or Securities: All deliveries MUST reference client name and Schwab account number.
支票及/或證券的實體交付： 所有遞送「必須」提供客戶姓名和嘉信帳戶號碼。

Name and Address
姓名及地址
Charles Schwab & Co., Inc.
嘉信理財
IS Document Control
P.O. Box 982600
El Paso, TX 79998-2600

Overnight Mailing Address
翌日快遞郵寄地址
Charles Schwab & Co., Inc.
嘉信理財
IS Document Control
1945 Northwestern Drive
El Paso, TX 79912

Fed Book-Entry Securities (e.g., Treasury Notes): All deliveries MUST include client name and Schwab account number.
聯邦記帳式證券（例如國庫票據）： 所有轉存均須包含客戶姓名與嘉信帳戶號碼。

Bank of New York Mellon
ABA #: 021000018
BK OF NYC/CSCHWAB
FBO: 8-digit customer A/C # and name.
FBO（收款人帳戶名稱）： 8 位數客戶帳戶號碼與姓名：

Liquidate Money Fund and transfer cash according to instructions listed below.
8 位數客戶帳戶號碼與姓名：

Fedwire® Monies: All deliveries MUST include client name and Schwab account number.
聯邦匯款系統®貨幣： 所有轉存均須包含客戶姓名與嘉信帳戶號碼。

Wire to: Citibank NA, 111 Wall Street, New York, NY 10005
以電匯方式將資金匯至： Citibank NA, 111 Wall Street, New York, NY 10005

ABA #: 021000089
FBO: Charles Schwab & Co., Inc. A/C #: 40553953
FBO（收款人帳戶名稱）： 嘉信理財帳戶號碼： 40553953
For further credit to Schwab Client Account #:__________________
最終收款的嘉信客戶帳戶 #：__________________

Foreign Securities: All deliveries MUST include client name and Schwab account number.
外國證券： 所有轉存均須包含客戶姓名與嘉信帳戶號碼。

Call 1-602-355-9003 for delivery instructions.
請致電 1-602-355-9003 取得轉存指示。

Transfer Your Account: Additional Information

- Visit Schwab.com for a status update on your transfer or to initiate your transfer online.
- To transfer funds from one Schwab account to another, go to the Transfer and Payments tab on Schwab.com or use the Letter of Authorization (LOA) Transfer Assets Between Schwab Accounts form.
- To obtain additional forms, visit Schwab.com or call 1-800-435-4000.

GENERAL INFORMATION

Schwab will not accept or honor any oral or written instructions from you to purchase or sell securities with the proceeds of the cash and/or transferred securities before we have actual receipt of your assets and the transfer process is complete.

If you want dividend reinvestment on your stocks, you will need to call 1-800-435-4000 after your transfer is complete.

If dividend reinvestment is not available for your mutual fund shares, Schwab will automatically pay all future dividends and capital gains distributions in cash. Requests to sell mutual fund positions are dependent upon the delivering firm receiving and processing the request and may take several weeks to complete.

If your fund is not transferable as shares, you may consider initiating a redemption at the fund company and request that they deliver cash to your Schwab account for a faster transfer.

If the account you are transferring holds pooled investments such as hedge funds, funds of funds, private equity, limited partnerships, REITs, or any other Alternative Investments, please contact our AI Service team at 1-877-201-2985.

FREQUENTLY ASKED QUESTIONS

How long will it take?

Depending on the type of securities, a typical transfer will take approximately three weeks. However, some may take up to six weeks or even longer.

Please remember that while we make every effort to ensure a swift transfer, the actual transfer time depends on how quickly securities are liquidated and released or transferred by the financial institution currently holding your investments.

Will I be charged a fee?

An exit fee may be charged by your previous financial institution upon receiving your transfer request. A wire fee may also be charged by your previous financial institution to transfer to Schwab.

Fractional shares of stock are nontransferable, and any fractional shares will be liquidated by the delivering firm upon the transfer of the whole shares. The delivering firm may or may not charge a fee for this liquidation.

If the assets you are transferring are considered nonstandard assets at Schwab (such as limited partnerships), there will be set-up and maintenance fees.

Are my funds transferable?

Schwab can transfer over 6,000 different mutual funds. Some financial firms issue their own (proprietary) mutual funds, and these funds typically cannot be transferred to any firm. Also, there are some mutual fund companies with whom Schwab has not established an agreement with the fund issuer to hold a particular mutual fund. If the mutual fund cannot be transferred, then you may be notified by mail.

How do I sell assets prior to transfer?

If there are assets that need to be sold before being transferred to Schwab, please instruct the delivering firm to sell assets in your brokerage or trust company account and cancel dividend reinvestment prior to sending this form to Schwab. This helps ensure that liquidations proceed efficiently, because many brokerage or trust companies will not accept instructions from Schwab to sell assets.

On a mutual fund transfer where the fund is held directly with the mutual fund company, you may utilize Section 6 of the Transfer Your Account form to facilitate the liquidation (sell).

Can I liquidate my securities during the account transfer?

Buying and selling securities during the account transfer process may complicate and delay your transfer. Some firms may even “freeze” an account that is in the process of being transferred, meaning that no trades will be permitted until the transfer is complete. As a result, you should avoid trading during the transfer process. If you are concerned about not being able to sell your stock during the transfer process, please consider selling and waiting until you have received the proceeds before entering the transfer request.

How do I transfer an annuity?

We recommend that you contact your existing insurer to verify the status of any charges or benefits before you proceed with your transfer/exchange request. Please also note that, in order to process your request, additional documentation and information may be required by Schwab or the current insurer.

To transfer your annuity assets, a surrender or liquidation of your annuity contract assets must generally occur. This may result in the following consequences: surrender charges, loss of vested living or death benefits, taxable earnings and possible tax penalties. For annuities not held in an IRA account, Section 1035 of the Internal Revenue Code allows you to make a tax-free exchange of one annuity contract for another annuity contract. Some annuities require the submission of the original policy to complete a transfer; please consult with your Insurance Company and submit the original policy if needed.

How do I transfer my company retirement plans?

Please consult with your plan administrator before initiating a transfer request. Then, to roll over your 401(k) or another employer-sponsored retirement plan, call a Schwab Rollover Consultant at 1-877-412-6116. From filling out paperwork to answering your questions and helping you work with your plan administrator, a dedicated Rollover Consultant will personally manage the process for you from start to finish, making it easy to roll over to a new IRA.

What about cost basis?

Schwab will update your account with the cost basis information provided on a transfer statement by a delivering firm. Because the accuracy of cost basis data depends upon these third-party statements, Schwab is not able to guarantee the availability, accuracy or completeness of such cost basis data. It is your obligation to confirm the accuracy of the information Schwab receives from the delivering firm by visiting Schwab.com or calling Schwab. Cost basis information is intended for residents of the U.S. It may not be available or appropriate for customers who reside outside the U.S.

Questions? Call 1-800-435-4000.
Thank you for investing with Charles Schwab.

轉存您的帳戶：其他資訊

- 請至 Schwab.com 取得您的轉存的最新狀態，或線上申請轉存。
- 如需將資產從一個嘉信帳戶轉至另一個嘉信帳戶，請至 Schwab.com 網上「轉存與支付」頁籤，或使用「嘉信帳戶間轉存資產授權信」表單。
- 如需取得更多表格，請至 Schwab.com 或致電 1-800-435-4000。

一般資訊

在嘉信實際收到您的資產並完成轉移程序前，您若有任何以現金收益及/或轉入證券買進或賣出證券的口頭或書面指示，嘉信將不接受或承認上述指示。

如果您希望您的股票股息再投資，請在您的轉存完成後致電 1-800-435-4000 。

若您的共同基金股份的股息無法再投資，嘉信將自動以現金支付所有未來股息與資本利得。賣出共同基金庫存的申請，需等待遞送機構收到並處理您的請求，可能需要幾個星期的時間。.

若您的基金無法以股份的方式轉存，您可以考慮向基金公司申請贖回，要求基金公司將贖回的現金收益轉存至您在嘉信的帳戶，以加快轉存處理的速度。

若您轉存的帳戶持有集合型投資標的，例如對沖基金、組合基金、私募基金、有限合夥、房地產投資信託 (REIT)或其他替代性投資，請與嘉信的 AI 服務團隊聯絡，電話 1-877-201-2985。

常見問題

資產轉存需要多少時間？

視證券類型而定，一般資產轉存需要大約三週的時間。視證券類型而定，一般資產轉存需要大約三週的時間。

請注意，嘉信雖盡力確保您的資產可迅速完成轉存，但實際轉存所需時間仍取決於目前持有您投資標的的金融機構出售、釋出及轉存證券的速度。

我需要支付費用嗎？

原持有您投資標的的金融機構收到您的轉戶申請時，可能會向您收取轉戶費。原持有您投資標的的金融機構，也可能為了將您的資產轉存至嘉信，而向您收取電匯轉帳費用。

零星的碎股不可轉存，因此遞送機構在轉存整股時，可能將碎股出售。遞送機構可能會收取售出費用，也可能不會。

如果您要轉存的資產在嘉信被視為非標準資產（例如有限合夥），將產生設定費與維護費。

我的基金可轉存嗎？

嘉信可以轉存 6,000 多種不同的共同基金。有些金融公司自行發行專屬的共同基金，這些基金通常不可轉存至其他公司。此外，也有些共同基金公司並未與嘉信簽訂協議，嘉信無法持有基金發行機構所發行的特定共同基金。若有共同基金無法轉存，您將會收到郵件通知。

我如何在轉存前賣出資產？

若您在將資產轉存至嘉信前，有資產需要賣出，請指示遞送機構賣出您的投資經紀或信託公司帳戶內的資產，並在寄出本表格給嘉信前，先取消股息再投資。由於許多投資經紀和信託公司不會接受嘉信發出的賣出資產指示，因此您的這項動作，有助於確保資產出售可有效完成。

若您要轉存的基金為共同基金公司直接持有，您可以填寫「轉存您的帳戶」表單的第 6 節，申請出售基金。

我可以在帳戶轉存的過程中出售我的證券嗎？

在帳戶轉存的過程中買賣證券，可能增添您資產移轉的複雜度，拖延移轉的速度。有些公司甚至會在轉存的過程中「冷凍」一個帳戶，在轉存完成前，不允許任何交易進行。因此，您應避免在轉存的過程中進行交易。若您擔心無法在轉存的過程中賣出您的股票，請考慮先賣出，等您收到賣出的收益後再申請轉存。

我如何轉存年金？

嘉信建議您先與您目前的保險業者聯絡，在您繼續提出轉存/交換的申請前，確認相關的費用或給付。亦請注意，為處理您的申請，嘉信或您目前的保險業者可能會要求您額外提供其他文件或資料。

如需轉存您的年金資產，您必須解約或出售您的年金合約資產。這可能導致下列結果：解約費用、損失既得的生存或死亡給付、應稅所得及可能產生的稅務罰款。對於非個人退休帳戶持有的年金，根據美國國內稅法 (Internal Revenue Code) 第 1035 條的規定，您可以將一份年金合約免稅換為另一份年金合約。有些年金要求必須提交原始的保單才能完成轉存。請與您的保險公司聯絡諮詢，若有需要請提交原始保單。

我如何轉存我公司的退休計劃？

請在提出轉存申請前，先與您公司的退休計劃管理人員協商。之後，如需轉存您的 401(k) 或其他由雇主贊助的退休計劃，請致電與嘉信退休計劃轉存顧問聯絡，電話 1-877-412-6116。從文書的填寫到回答您的問題及協助您與公司的退休計劃管理人員配合，嘉信有專屬的退休計劃轉存顧問，從頭到尾提供您一對一的協助，幫助您將原本的退休計劃轉存至新的個人退休帳戶。

請問成本基礎為何？

嘉信將以遞送機構的轉存結單上提供的成本基礎資訊為準，並以此更新您的帳戶。由於成本基礎數據的正確性以第三方結單為準，嘉信無法保證上述成本基礎數據的可取得性、正確性或完整性。您有義務確認嘉信理財從遞送機構取得的資訊完全正確，請至 Schwab.com進行確認，或致電與嘉信聯絡。成本基礎適合美國居民使用，可能不適合非美國地區的顧客使用，或無法為其取得。

有任何疑問嗎？ 請致電 1-800-435-4000
感謝您選擇嘉信理財。

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