

Gifting/Authority to Transfer - External



Account Transfers
Service Center
eSign / Scan / Fax

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Form #

Account #

Branch #

FA #

Speed Dial #

Purpose: *The purpose of this form is to transfer asset(s) to an outside (external) firm.*

This form cannot be used for retirement accounts.

- Gift** **Non Gift**
 Domestic Transfer **International Transfer**

Institution Account Information		
Name of Receiving Institution	Account Registration at the Receiving Firm	
Address of Receiving Institution (include country if outside the U.S.)	Account # at Receiving Firm	Receiving Firm Contact Email (if outside the U.S.)

Delivery Instructions	
ACATS/DTCC Participation #	<input type="radio"/> Entire Account In-Kind. <i>Transfer Details not required</i> <i>This will close the account and fees will be assessed/charged.</i> <input type="radio"/> Partial Account In-Kind. <i>List assets in Transfer Details</i>

Transfer Details			
<input type="radio"/> Securities- If transferring a portion of a multi-tax lot position, your existing Cost Basis Accounting Method (CBAM) will be applied unless otherwise specified. If specific tax lots are requested please allow up to 5 business days after transfer for the tax lot adjustment. (provide details below)			
Quantity*	Symbol/CUSIP/ISIN	Specific Tax Lot Date	Asset Description
Delivering Instructions: BIC Code/SSI (For International Transfers Only)			Trade/Settle Date**
Quantity*	Symbol/CUSIP/ISIN	Specific Tax Lot Date	Asset Description
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Quantity*	Symbol/CUSIP/ISIN	Specific Tax Lot Date	Asset Description
Delivering Instructions: BIC Code/SSI (For International Transfers Only)			Trade/Settle Date**

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Account #

Transfer Details Continued

Quantity*	Symbol/CUSIP/ISIN	Specific Tax Lot Date	Asset Description
Delivering Instructions: BIC Code/SSI (For International Transfers Only)			Trade/Settle Date**
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Quantity*	Symbol/CUSIP/ISIN	Specific Tax Lot Date	Asset Description
Delivering Instructions: BIC Code/SSI (For International Transfers Only)			Trade/Settle Date**

* Only whole share amounts are eligible for transfer. Shares cannot be specified in a dollar amount.
** If known, complete for International transfers only.

See attached Gifting Transfer - External: Addendum (#2112AD) for additional assets for this account.

Account #

Transfer Details Continued

Mutual Funds - If the shares are currently held direct at the mutual fund, the client must contact the fund company for gifting options. *If transferring a portion of a multi-tax lot position, your existing Cost Basis Accounting Method (CBAM) will be applied unless otherwise specified. If specific tax lots are requested please allow up to 5 business days after transfer for the tax lot adjustment. (provide details below)*

Quantity***	Symbol/CUSIP or ISIN	Existing Fund Account # to Transfer Shares to****	Specific Tax Lot Date

*** Please provide specific share amounts for mutual fund transfers. Mutual funds can transfer partial shares up to 3 decimal places. Shares cannot be specified in a dollar amount.

**** For non-ACATS eligible firms: account must be established at the fund company.

See attached Gifting Transfer - External: Addendum (#2112AD) for additional assets for this account.

Donor Information (For Gifts Only)

If requested by the receiving party, Raymond James may provide:

- Client name, city and state
- No information, I/we wish to be anonymous

If nothing is marked, Raymond James will assume the client wishes to remain anonymous.

Cost Basis Instructions for Security Movements (For Non-Gifts Only)

- Select One (required):**
- Transfer with no changes of ownership (same name) or to a spouse
 - Inheritance – distribution of securities from an Estate account or TOD (transfer on death) account
*
Provide Date of Death: _____
(mm/dd/yyyy)
 - Transfer to/from a trust (Select cost basis treatment below)
 - Transfer securities with original cost
 - Transfer with cost stepped up for inheritance

*Complete Form 2759: Date of Death Valuation Request and indicate step up percentage in the instructions.

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Account #

Wire Instructions

Wire Instructions for International Cash Only

Cash Amount	
Bank Name	
Receiving Account Registration	
Receiving Bank Account #/IBAN	
FBO/FAO	
S.W.I.F.T. code	
Secondary S.W.I.F.T. code	

- International Cash Wire:** By checking this box, I affirm that the pre-wire disclosure information has been conveyed to the client. Branch Principal signature is required (below) for this.

Acknowledgments and Signatures

I understand that when transferring a portion of a multi-tax lot position, the defaulted chosen lot method on this account will be applied unless otherwise specified. I/We hereby relinquish all right, title and interest in said transferred securities, and release and discharge you of any claims by me or my legal representatives with reference thereto, including the proceeds from the sale or other disposition thereof. I/We agree to hold Raymond James & Associates, Inc., harmless from any loss or claim which may be incurred by reason of this transfer of funds and/or securities to the account(s) as stated above.

Cost Basis Information for Gifts Only: Raymond James will mark the transaction as a gift and provide the receiving broker with adjusted original basis and fair market value as of the transfer date. Please see IRS Publication 550, Investment Income and Expenses for more information on cost basis rules for gifting.

Owner Signature	Date	Owner Signature (if applicable)	Date
Owner Signature (if applicable)	Date	Owner Signature (if applicable)	Date
Branch Manager or RIA Authorized Representative Approval	Date		