

Retail Brokerage Journal Request

- Check here if you entered the request using the Asset Movement function in NetX360™
 Check here if you would like to save this request as a Standing Instruction

1. Client and Registered Representative Information

Client Name	Registered Representative Name and Number # _____
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2. Journal Request Information (Attach a separate sheet signed by the client(s) if moving more than five assets)

Transfer Reason (*required*):
 Gift
 Divorce
 Inheritance
 Same Beneficial Owner
 Third Party Transfer
 For Third Party Transfers, the relationship and purpose of the transaction is required:

Journal Type: (*choose one*)

Process a FULL journal from the delivering account to the receiving account
 Close the delivering account? YES NO

Process a PARTIAL journal from the delivering account to the receiving account

Delivering Account Number	Receiving Account Number
Delivering Account Registration	Receiving Account Registration
Money Market Fund/Cash to Journal to Receiving Account: \$ _____	Is an additional signed security breakdown attached? <input type="checkbox"/> YES <input type="checkbox"/> NO

Journal the following shares to the Receiving Account:

(Note: For FULL journals, leave this section blank. Residuals will automatically sweep if the account is closed.)

Share Quantity	Security Description	CUSIP® or Symbol

3. Account Features (*for FULL journal requests between identical accounts ONLY*)

Please move the following features to the new account:

- | | | | |
|--|--|--|--|
| <input type="checkbox"/> ACH Instructions | <input type="checkbox"/> Check Writing | <input type="checkbox"/> NetX Client | <input type="checkbox"/> Periodic Instructions |
| <input type="checkbox"/> Standing Instructions | <input type="checkbox"/> SelectLink | <input type="checkbox"/> Systematic Trade Instructions | |

Note: Cost Basis information moves automatically.

4. Signatures

This form must be dated within thirty (30) days of the request.

Client Signature	Date of Signature	Joint Client Signature	Date of Signature
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Client Name (Please Print)	Joint Client Name (Please Print)
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