



ACATS Account Transfer Instructions

Please note: Alpine only allows same name to same name transfers, individual to trust account transfers, and individual to joint account transfers.

In order to transfer assets, Alpine Securities requires the following documents, which should include a separate ACAT Transfer Form for each institution from which accounts or funds are to be transferred:

Pink Sheets/Bulletin Board Stocks held in the previous account for less than one year:

- A completed ACAT Transfer Form.
- An indemnification for *each* security to be transferred.
- A Deposited Securities Request form for each security to be transferred.
- A copy of your latest account statement with your former brokerage firm, i.e. the transferring firm.

Stocks held in the previous account for one year or longer:

- A completed ACAT Transfer Form.
- An indemnification for *each* security to be transferred.
- A copy of your latest account statement with your former brokerage firm, i.e. the transferring firm.
- A copy of an account statement with your former brokerage evidencing that the shares have been held for a year or more (may be the statement as requested above).

Stocks purchased in the open market:

- A completed ACAT Transfer Form.
- An indemnification for *each* security to be transferred.
- A copy of your latest account statement with your former brokerage firm, i.e. the transferring firm.
- A confirmation evidencing that the shares were purchased in the open market.

Listed/Nasdaq Stocks:

- A completed ACAT Transfer Form.
- An indemnification for *each* security to be transferred.
- A copy of your latest account statement with your former brokerage firm, i.e. the transferring firm.

Cash:

- A completed ACAT Transfer Form.

Please list the names of all account holders on the account you wish to transfer:

Account Transfer Form

Alpine Clearing Number: 8072	Type of Transfer: <input type="checkbox"/> Partial Transfer <input type="checkbox"/> Full Transfer			
A. Information About Your Alpine Account				
Name as it appears on your account			Alpine Securities Account Number	
B. Information About the Account You are Transferring				
Name of Firm, Fund Company or Insurance Company			DTCC Number	
Account Number	Name(s) and Title of Account as Shown on Last Account Statement			
C. Type of Transfer				
C1. Brokerage Account Transfer (If partial transfer, please list assets)				
Description of Asset (Equity/Cash)	Quantity	Full or partial portion of your position		
C2. Mutual Fund Transfer				
Name of Fund	Fund Account #	Quantity	Handling (check one)	Pay capital gains & dividends as (check one if transferring shares)
			In Kind	Liquidate
C3. Bank, Savings & Loan, Credit Union or Insurance Company Annuity Transfer (select one)				
<input type="checkbox"/> Only transfer cash <input type="checkbox"/> All \$ _____ <input type="checkbox"/> Portion \$ _____ <input type="checkbox"/> Liquidate CD or annuity immediately and transfer cash. I am aware of and acknowledge any penalty I will incur from an early withdrawal. <input type="checkbox"/> Liquidate CD or annuity at maturity and transfer cash. Maturity date: _____ (Submit 2-3 weeks before maturity date)				
D. Signature (Please sign, date and attach a copy of your latest statement. Your signature is our permission to transfer your assets, and acknowledges your receipt of the Terms and Conditions attached to this transfer form.)				
Signature			Date	
Letter of Authorization (FOR ALPINE SECURITIES USE ONLY)				
To the prior trustee or custodian: Please be advised that Alpine Securities Corporation will accept the previous captioned account as successor custodian.				
Successor Custodian Authorized Signature			Date	

E. Terms and Conditions

If this account is a qualified retirement account, I have amended the applicable plan so that it names Alpine Securities Corporation as successor custodian. If this is an IRA, I hereby adopt or reaffirm my adoption of the Pensco Trust Company Individual Retirement Plan.

Unless otherwise indicated in the instructions above, please transfer all assets in my account to Alpine Securities Corporation. 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 NASD or other designated examining authority. As fractional shares of stock are nontransferable, any and all 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 these liquidations.

Unless otherwise indicated in the instructions below, 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 successor custodian. I authorize you to deduct any outstanding fees due from the credit balance in my account. If my account does not contain a credit balance or the balance is insufficient to satisfy any outstanding fees due, 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 not accept any other orders from me to purchase or sell securities and that you will cancel all open orders for 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.

Disposition of money market fund assets other than liquidation and transfer: Alpine 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 prior to Alpine's actual receipt of your assets and the completion of the transfer process. You may initiate orders relating to the cash and/or transferred securities only after the assets have been received by Alpine and the transfer process has been completed. You are responsible for monitoring your account to determine when the transfer process has been completed and the cash and/or securities have arrived at Alpine.

Important: In order to transfer this account, a copy of your latest statement is required and must be attached.

For all transfers from a traditional IRA to a Roth IRA:

A conversion from a traditional IRA to a Roth IRA is a taxable distribution that requires a federal and/or state tax withholding election. **Taxes cannot be withheld when using this form to transfer your traditional IRA from another institution to a Roth IRA. You understand that by using this form to transfer your traditional IRA to a Roth IRA, you are electing to have no tax withholding from your traditional IRA.**

You further certify that you understand that you may only convert your existing traditional IRA to a Roth IRA in a year during which your adjusted gross income (AGI) or the AGI of your spouse and yourself (if you file a joint tax return) is \$100,000 or less.

Important Tax Withholding Notice

Distributions from your IRA are subject to federal (and possible state) income tax. The IRS requires withholding on the distribution unless you elect to have no income tax withheld. Even if you elect in writing not to have tax withheld, you are liable for payment of income tax on the taxable portion of your distribution. You may also be subject to tax penalties under the estimated tax payment rules if your withholding and payment of estimated tax, if any, are not adequate. You may wish to consult your tax advisor or IRS Publication 590 concerning your withholding election.

F. Delivery Instructions

Receiving Firm Name and Address:

Alpine Securities Corporation
39 Exchange Place
Salt Lake City, UT 84111

All deliveries *must* include client name and Alpine account number.

All DTCC- Eligible Securities:

Deliver to DTCC 8072, Code 040. All deliveries *must* include client name and Alpine account number.

Dividend Reinvestment or Closed-End Mutual Funds:

Issue a certificate for all whole shares, liquidate all fractional shares and discontinue dividend reinvestment. All deliveries *must* include client name and Alpine account number.

Liquidate Money Funds and Transfer Cash According to Instructions Listed in the Sections Titles "Fed-Wire" or "Forward Checks":

All deliveries *must* include client name and Alpine account number.

Fed-Wire Monies:

Wire to: Wells Fargo Bank, San Francisco, CA; ABA# 121000248; FBO: Alpine Securities Corp, A/C# 0540101979

For the account of _____

Alpine A/C # _____

All deliveries *must* include client name and Alpine account number.

Forward Checks:

Alpine Securities Corporation
39 Exchange Place
Salt Lake City, UT 84111

All deliveries *must* include client name and Alpine account number.

"ACAT" Mutual Fund Registration:

Alpine Securities Corporation
39 Exchange Place
Salt Lake City, UT 84111

Dividend & Capital Gains Option: ___ Reinvest

___ Deposit to new plan. All deliveries *must* include client name and Alpine account number.