



ACCOUNT TRANSFER FORM
Clear St DTC Clearing Number: 9132

Account Transfer Steps:

- 1) Enter your Clear St account information (receiving account)
- 2) Enter your external account information (sending account)
- 3) Submit full account transfer or list assets to be transferred
- 4) Sign and date the transfer form
- 5) Authorize transfers between accounts with registration differences (if applicable)

Please complete the following once your Account Transfer Form

- Print this form and confirm that it is filled in completely with **all required signatures**
- Print a copy of your **most recent statement** for the account you are transferring and submit with this form (all pages)
- Complete and attach any required additional documents (see table below)
- Send all necessary documents to the appropriate mailing address, fax number or email address below

Note: Notarized documents and Stock Certificates may not be sent by email or Fax

Mail or Courier:

Clear Street, LLC
 55 Broadway, Suite 2102
 New York, NY 10006
 Attn: Onboarding

email:

onboarding@clearstreet.io

Facsimile:

(914) 462-4932

Note: please include cover sheet addressed to Onboarding

The following additional documentation is required for these types of transfers:

Transfers from this type of account:	To these types of account:	Additional documentation:
Conservator	<ul style="list-style-type: none"> ▪ Individual 	<ul style="list-style-type: none"> ▪ Proof of Age (e.g. Drivers License, Passport)
Custodial	<ul style="list-style-type: none"> ▪ Individual ▪ Trust ▪ Estate 	<ul style="list-style-type: none"> ▪ Proof of Age
Estate	<ul style="list-style-type: none"> ▪ Individual ▪ Joint ▪ Trust 	<ul style="list-style-type: none"> ▪ Death Certificate ▪ Affidavit of Domicile ▪ Letter of Testamentary ▪ Copy of Will
Guardian	<ul style="list-style-type: none"> ▪ Individual 	<ul style="list-style-type: none"> ▪ Proof of Age ▪ Termination of Guardianship
Partnership	<ul style="list-style-type: none"> ▪ Trust ▪ Corporation 	<ul style="list-style-type: none"> ▪ Partnership Agreement
Corporation	<ul style="list-style-type: none"> ▪ Trust ▪ Partnership 	<ul style="list-style-type: none"> ▪ Articles of Incorporation
Trust	<ul style="list-style-type: none"> ▪ Corporation ▪ Partnership 	<ul style="list-style-type: none"> ▪ Trust Agreement



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Use this form to move some of all assets from an account held at another firm to Clear St

A separate transfer form is required for each account from which you are transferring assets (only one account number can be used per form).

1 Enter receiving (Clear St) account information

Clear St Account Number	Clear St Account Name
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Account Owner(s)

First Name (Primary Account Owner)	M.I.	Last Name	Social Security Number
First Name (Co-Account Owner)	M.I.	Last Name	Social Security Number
Trust or Entity Name (if applicable)			Tax ID Number (If applicable)

Receiving Account Type

- Individual
 Joint
 Trust
 Estate
 Custodial
 Partnership
 Corporate
 Other account type

2 Enter delivering account information

Delivering Account #	Name of Delivering Financial Institution
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Delivering Institution DTC#	Delivering Financial Institution Phone #
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Account Owner(s)

First Name (Primary Account Owner)	M.I.	Last Name	Social Security Number
First Name (Co-Account Owner)	M.I.	Last Name	Social Security Number
Trust or Entity Name (if applicable)			Tax ID Number (If applicable)

Delivering Account Type

- Individual
 Joint
 Trust
 Estate
 Custodial
 Partnership
 Corporate
 Other account type



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3 List assets to transfer

SELECT ONE

- FULL TRANSFER: Transfer entire account
- PARTIAL TRANSFER: (Complete Table below)

Security Symbol or CUSIP #	Quantity	Security Symbol or CUSIP #	Quantity	Security Symbol or CUSIP #	Quantity

Cash: Enter the amount of cash you are transferring from you outside account (if applicable): _____

(Attach additional copies of this page if necessary)

4 Sign and Date

To the delivering firm: Transfer assets in my account to Clear Street, LLC as indicated. I understand that if assets in my account are not readily transferable with or without penalties, such assets may not be transferred within the time frames required by the rules of the Financial Industry Regulatory Authority, Inc. ("FINRA") or other designated examining authority. I authorize you as delivering firm, to liquidate nontransferable proprietary money market fund assets, deduct any outstanding fees due to you, and transfer the resulting credit balance to the Clear Street, LLC account. I authorize you as delivering firm to liquidate assets in my account as necessary to satisfy outstanding fees due to you. I instruct you to transfer certificates or other instruments in my account in good deliverable form, including affixing any necessary tax waivers, to enable Clear Street, LLC 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 for my account on your books.

All account holders must sign and date this form.

Name & Title (if entity) of Primary Account Holder

Signature

Date

Print Name of Co-Account Holder

Signature

Date

Print Name of Additional Party (if applicable)

Signature

Date



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5 Authorize transfers between accounts with registration differences

A. Confirm that both accounts are owned by the same person or entity, even though the names are different (if necessary)

If the account owner names listed in sections 1 and 2 of this form are not spelled EXACTLY the same, but still refer to the same person or entity, please complete this section. For example, if the names are different due to marriage, divorce, spelling errors, or inclusion/exclusion of middle initial or suffixes (e.g. Jr., Sr., III), this section is needed to confirm that the owner is one and the same person or entity. Please be sure to have this form notarized if you complete this section.

I, _____, am One and the Same as _____
Print Name Print Name

Please sign both ways

Signature Signature

OR

_____ is the same entity as _____

Name & Title of Signatory Signature

B. Authorize transfers between different types of accounts (if applicable)

If you are transferring between different account types in section 1 and 2 (e.g. from joint to individual), please complete this section. Transfers between different account types must be authorized or you must visit our office and present photo identification and may require additional documentation.

I/We authorize Clear Street, LLC to transfer the account listed in section 2 of this Account Transfer form into the Clear Street, LLC account listed in section 1.

All account holders must sign and date below:

Name of Primary Account Holder If entity, Name & Title of Signatory Signature
Name of Co-Account Holder If entity, Name & Title of Signatory Signature
Name of Additional Party (if applicable) If entity, Name & Title of Signatory Signature



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NOTARY ACKNOWLEDGMENT:

State of: _____ [seal]

County of: _____

Subscribed and sworn before me: _____

Date: _____

Signature of Notary: _____

My commission expires: _____

FOR CLEAR STREET, LLC USE ONLY:

I have verified the Registered Owner's signature against a valid form of photo identification.

Signature of Principal: _____

Date: _____

Print Name: _____