



# Transfer Initiation Form (TIF)

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## 1 COMPLETE FORM

### INSTRUCTIONS

Complete this form, along with any additional documents, to transfer account assets in-kind to the new custodian/trustee. Failure to fully complete the form(s) or attach appropriate documents and any other documentation that is required by the delivering custodian, may result in a delay in the processing of your request for which the new custodian/trustee cannot be held accountable. Forms that are incomplete will not be processed. This form should be used for transfers between like account types only.

#### MAKE SURE YOU:

- Complete **ALL** required fields on this form.
- Obtain **ALL REQUIRED SIGNATURES** and **SOCIAL SECURITY NUMBERS/TIN** by the required people.
- Affix the **MEDALLION GUARANTEE STAMP** on this form.
- Include a copy of the customer's **MOST RECENT STATEMENT**.

## 2 Submit Form

Clearing through **SEI Private Trust Company**  
**DTC CLEARING NUMBER 2663**

### WHAT HAPPENS NEXT?

SEI Private Trust Company will process your transfer request in a timely manner. Time frames for completion of transfers vary depending on types of assets to be transferred and the delivering Firm's agent in the Automated Customer Account Transfer Service (ACATS). Please reference the Pending Transfer screen within the SEI Wealth Platform to obtain a recent status on your transfer

# Transfer Initiation Form (TIF)



## INSTRUCTIONS

Complete this form to transfer account assets to the new custodian/trustee.

<b>RECEIVING ACCOUNT INFORMATION</b> <i>as it appears on the SEI Wealth Platform</i>	<b>DELIVERING ACCOUNT INFORMATION</b> <i>(transferring "from")</i>
ACCOUNT NUMBER <input style="width: 100%; height: 20px;" type="text"/>	FIRM NAME <input style="width: 100%; height: 20px;" type="text"/>
ACCOUNT NAME <input style="width: 100%; height: 20px;" type="text"/>	ACCOUNT NAME <input style="width: 100%; height: 20px;" type="text"/>
PORTFOLIO NAME <input style="width: 100%; height: 20px;" type="text"/>	ACCOUNT NUMBER <input style="width: 100%; height: 20px;" type="text"/>
<b>RECEIVING ACCOUNT TYPE</b> <i>check one</i> <input type="checkbox"/> Single <input type="checkbox"/> Joint <input type="checkbox"/> Beneficiary IRA <input type="checkbox"/> Trust <input type="checkbox"/> Estate <input type="checkbox"/> Direct Rollover <input type="checkbox"/> Simple IRA <input type="checkbox"/> Roth IRA <input type="checkbox"/> Qualified Plan <input type="checkbox"/> Corporate <input type="checkbox"/> IRA <input type="checkbox"/> Other <i>(specify below)</i> <input style="width: 100%; height: 20px;" type="text"/>	DELIVERING ACCOUNT TYPE    SS# OR TAX ID # <input style="width: 100%; height: 20px;" type="text"/>
	CONTACT NAME    CONTACT TELEPHONE <input style="width: 100%; height: 20px;" type="text"/>
	OVERNIGHT ADDRESS OF FIRM <input style="width: 100%; height: 20px;" type="text"/>
	<b>NOTE:</b> A complete copy of the account's most recent statement must be included with this form to have the assets transfer.

<b>TRANSFER TYPE</b> <i>check one</i> <input type="checkbox"/> Full Account Transfer-in-Kind <input type="checkbox"/> Full Account Liquidation <input type="checkbox"/> Other (Complete Liquidation/ In-Kind Worksheet) If liquidated, provide liquidation date <input style="width: 50px;" type="text"/>	<b>MUTUAL FUND DIVIDEND &amp; CAPITAL GAIN OPTIONS</b> <i>check one</i> <input type="checkbox"/> Reinvest Both <input type="checkbox"/> Dividend Cash/Capital Gains Reinvest <input type="checkbox"/> Cash Both <input checked="" type="checkbox"/> Use account's Mutual Fund Reinvestment Preference (default)	<b>TRANSACTION EXPLANATION</b> <i>SPTC Default: Received from (delivering Custodial Name) ACCT (Delivering Account Number)</i> CUSTOM EXPLANATION <i>(maximum of 50 characters)</i> <input style="width: 100%; height: 40px;" type="text"/>
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**AGREEMENT AND SIGNATURES** 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 the FINRA Rule 11870 of the Association's Uniform Practice Code or similar rule of another designated examining authority.

Unless otherwise indicated in the instruction above, I authorize you to liquidate any money market fund assets that are part of my account and to transfer the remaining balance, if any to the successor custodian/trustee. I also understand there might be outstanding fees as well as transfer or wire charges and possible debit balances in my account that must be paid to allow the transfer of my assets and closing of my account with you, and therefore authorize you to charge my account with you or the successor custodian/trustee to the extent necessary to satisfy those obligations, provided the total charge does not exceed \$500.00. 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/trustee to transfer them in its name for the purpose of sale, when and as directed by me. Upon receiving a copy of this transfer instruction, the carrying organization will cancel all open orders for my account on its books.

<b>Signatures and SS#s or Tax ID#s Required for Processing</b>		
CLIENT\TRUSTEE NAME <i>please print</i> <input style="width: 100%; height: 20px;" type="text"/>	CLIENT\TRUSTEE SIGNATURE <input style="width: 100%; height: 20px;" type="text"/>	<b>MEDALLION GUARANTEE STAMP</b> required for processing
DATE <input style="width: 100%; height: 20px;" type="text"/>	SS# or Tax ID# <input style="width: 100%; height: 20px;" type="text"/>	
JOINT CLIENT\CO-TRUSTEE NAME <i>please print</i> <input style="width: 100%; height: 20px;" type="text"/>	JOINT CLIENT\CO-TRUSTEE SIGNATURE <input style="width: 100%; height: 20px;" type="text"/>	
DATE <input style="width: 100%; height: 20px;" type="text"/>	SS# or Tax ID# <input style="width: 100%; height: 20px;" type="text"/>	
SPTC Authorized Signature Bank/Trust Company Representative	AUTHORIZED NAME <i>please print</i> <input style="width: 100%; height: 20px;" type="text"/>	DATE <input style="width: 100%; height: 20px;" type="text"/>
	AUTHORIZED SIGNATURE <input style="width: 100%; height: 20px;" type="text"/>	Must be authorized to instruct Free Movement transactions at SEI Private Trust Company. The authorized signor hereby does accept the above account as successor custodian/trustee.

# Transfer Initiation Form (TIF)



## Partial Liquidation/In-kind Worksheet

Use this form when completing a **partial transfer of assets in-kind** or **liquidating specific assets** only. Use a duplicate page if additional space is needed.

If assets are to be liquidated, please provide the liquidation date on page 2 (Transfer Type).

**EACH WORKSHEET MUST BE SIGNED BY THE CLIENT(S) AND SIGNATURE GUARANTEED.**

### RECEIVING ACCOUNT INFORMATION

*as it appears on the SEI Wealth Platform*

ACCOUNT NUMBER

ACCOUNT NAME

### DELIVERING ACCOUNT INFORMATION

*(transferring "from")*

FIRM NAME

ACCOUNT NUMBER

Specific Quantity or ALL	Cost Basis	Tax Acq. Date	Asset ID	Security Description	Liquidate	Transfer In-Kind
ALL <input type="checkbox"/>					<input type="checkbox"/>	<input type="checkbox"/>
ALL <input type="checkbox"/>					<input type="checkbox"/>	<input type="checkbox"/>
ALL <input type="checkbox"/>					<input type="checkbox"/>	<input type="checkbox"/>
ALL <input type="checkbox"/>					<input type="checkbox"/>	<input type="checkbox"/>
ALL <input type="checkbox"/>					<input type="checkbox"/>	<input type="checkbox"/>
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ALL <input type="checkbox"/>					<input type="checkbox"/>	<input type="checkbox"/>
ALL <input type="checkbox"/>					<input type="checkbox"/>	<input type="checkbox"/>
ALL <input type="checkbox"/>					<input type="checkbox"/>	<input type="checkbox"/>
ALL <input type="checkbox"/>					<input type="checkbox"/>	<input type="checkbox"/>

### Signatures Required for Processing

CLIENT\TRUSTEE NAME <i>please print</i>	CLIENT\TRUSTEE SIGNATURE	DATE
JOINT CLIENT\CO-TRUSTEE NAME <i>please print</i>	JOINT CLIENT\CO-TRUSTEE SIGNATURE	DATE

### MEDALLION GUARANTEE STAMP required for processing



ALTERNATIVE ASSET TRANSFER / ROLLOVER ADDENDUM

IMPORTANT INFORMATION

- Only complete this section if you are transferring, rolling over, converting or liquidating alternative assets from the resigning account. Please include a recent copy of your account statement which shows the assets you are transferring.
It is the responsibility of the current Administrator/Custodian to handle the re-registration of any investment it is holding in your account (e.g., IRA, 401(k), profit-sharing plan, etc.) that you wish to move. If you have more than two investments in this account, please photocopy this section and complete it for each investment.
All investments are subject to an administrative review by Pacific Premier Trust. Pacific Premier Trust will contact you if additional signatures or documents are required by the third party executing the transfer.

INVESTMENTTYPE (CHOOSE ONE):

Private Equity Promissory Note Secured Note Real Estate Other: \_\_\_\_\_

TRANSFER/ROLLOVER/CONVERSION:

Table with 4 columns: INVESTMENT NAME\*, NO. OF SHARES TO BE TRANSFERRED\*, TOTAL CURRENT ESTIMATED DOLLAR VALUE\*, PERCENTAGE OF OWNERSHIP\* %

INVESTMENT CONTACT INFORMATION:

Table with 2 columns: COMPANY NAME\*, CONTACT NAME\*

Table with 3 columns: CONTACT DEPARTMENT\*, EMAIL ADDRESS\*, PRIMARY PHONE NO.\*

Table with 1 column: COMPANY MAILING ADDRESS\*

Table with 4 columns: CITY\*, STATE/PROVINCE\*, COUNTY\*, POSTAL CODE\*

INVESTMENTTYPE (CHOOSE ONE):

Private Equity Promissory Note Secured Note Real Estate Other: \_\_\_\_\_

TRANSFER/ROLLOVER/CONVERSION:

Table with 4 columns: INVESTMENT NAME\*, NO. OF SHARES TO BE TRANSFERRED\*, TOTAL CURRENT ESTIMATED DOLLAR VALUE\*, PERCENTAGE OF OWNERSHIP\* %

INVESTMENT CONTACT INFORMATION:

Table with 2 columns: COMPANY NAME\*, CONTACT NAME\*

Table with 3 columns: CONTACT DEPARTMENT\*, EMAIL ADDRESS\*, PRIMARY PHONE NO.\*

Table with 1 column: COMPANY MAILING ADDRESS\*

Table with 4 columns: CITY\*, STATE/PROVINCE\*, COUNTY\*, POSTAL CODE\*

2 To avoid delays in processing your request, at least one of these sections must be completed in its entirety. All assets that are to be transferred must be listed individually in its appropriate section. Please attach copies of account statements from the current Trustee/Custodian collecting the assets to be transferred. If you have physical certificates in your possession, you must send the actual certificates in negotiable form to Pacific Premier Trust with this document.



## 1. ACCOUNT OWNER ACKNOWLEDGMENTS WITH REGARD TO INVESTMENTS TO BE TRANSFERRED OR ROLLED OVER

- i. I understand, acknowledge and agree that I am responsible, and Pacific Premier Trust and its related entities are not responsible, for selecting and reviewing the above investment and for determining the suitability, nature, value, risk, safety and merits of the investment that I authorize and direct Pacific Premier Trust to make for my Pacific Premier Trust Account ("Account").
- ii. I understand that Pacific Premier Trust and its related entities are not related to or affiliated with the management or selling agent(s) of the investment(s) that I have directed Pacific Premier Trust to hold for my account. I acknowledge that Pacific Premier Trust has not reviewed, recommended or commented on the investment(s) merits, risks, suitability or management of the asset(s) I have selected and I authorize Pacific Premier Trust to process this transfer or rollover request. I also understand and agree that Pacific Premier Trust and its related entities will not be responsible for taking any action should the investment(s) noted herein become subject to default, including fraud, insolvency, bankruptcy, or other court order or legal process.
- iii. I verify that I have received and read all pertinent information relating to the investment(s) named herein (i.e. private placement memorandum, purchase agreement, subscription documents, etc.). I verify that (i) I am capable of evaluating the investment characteristics and risks of the investment independently, or have relied on an investment professional with knowledge and experience related to investments of the type described above; and (ii) I am not relying on the Custodian for any advice or recommendation in evaluating the investment. I also verify that I agree to be bound by the terms of the Custodial Account Agreement, which I agreed to together with Pacific Premier Bank, through its division, Pacific Premier Trust, as the Custodian of record. I acknowledge that the terms of the Custodial Agreement are incorporated herein by reference, except that where the terms of this Alternative Asset Transfer/Rollover Addendum conflict with the terms of the Custodial Agreement, the terms of this Alternative Asset Transfer/Rollover Addendum shall control.
- iv. I have consulted my own attorney and hereby represent that Pacific Premier Trust may hold title to any Real Estate, Note and/or its collateral, where applicable. I hereby represent to Pacific Premier Trust that I understand the risks involved with my Real Estate or deed of trust/ mortgage/secured note investment(s), specifically that there may be liability above and beyond the amount of the investment(s) and/or in the collateral property (e.g., ad valorem property taxes on the property or liability arising under Environment Laws). The losses will include any losses caused by, or arising out of, the presence, on or about the Property, of any Hazardous Substances, or any person or entity complying or failing to comply with any Environment Law. The term "Environmental Law" means any law, rule, regulation, or ordinance relating to protection of the environment or human health. The term "Hazardous Substance" means any substance defined as hazardous or toxic, or otherwise regulated by any Environmental Law.
- v. **Prohibited Transactions.** I represent that the above investment(s) is not a prohibited transaction, as defined in the Internal Revenue Code Section 4975. If I, a family member or another disqualified person am/ is an officer of, or has an ownership interest in the entity in which I invested, I represent that I have consulted my tax advisor prior to submitting my investment instructions.
- vi. I understand all the routine real estate expenses (e.g., tax bills, insurance premiums, homeowner's association payments and utility bills) received by Pacific Premier Trust may automatically be paid from my account. I understand that it is my responsibility to ensure all billing parties have the correct mailing address on file. I will be responsible with monitoring my account activity to confirm that all necessary expenses related to my real estate investment have been processed. I understand that sufficient funds must be held in my uninvested cash account to make the required payment at least 14 days prior to the payment's due date. If the funds are not available, I will be responsible for any interest or penalties incurred. Invoices for non-routine expenses (e.g., repairs and improvements) require specific Account Owner authorization prior to payment from the account.
- vii. If I have appointed a manager for a note or real estate transferred to my account, Pacific Premier Trust will not be responsible for errors and omissions in the management or servicing agreement or for any actions taken by the manager.
- viii. I acknowledge that non-deposit investment products are not insured by the FDIC, are not obligations of or guaranteed by Pacific Premier Trust and are subject to risk, including the possible loss of principal.
- ix. I understand that offshore entities are not organized under the laws of the United States and, most likely, are not subject to U.S. law or regulation and/or the U.S. legal system. I am aware that I am responsible for all legal matters concerning my Account, and that Pacific Premier Trust may resign as directed custodian in the event of future legal proceedings.
- Pacific Premier Trust shall direct all purchase and liquidation instructions as well as all questions concerning valuation of the investment offering to the issuer of the investment's Investment Advisor or Fund Manager located in the United States.
- The asset sponsor of any offshore fund that I may direct Pacific Premier Trust to purchase in my Account may require that Pacific Premier Trust provide additional documentation or other information pursuant to the anti-money laundering or other laws applicable to the asset sponsor in the country in which it operates or is domiciled. The particular requirement of each country and each asset sponsor may differ. It is my responsibility to determine these requirements prior to directing that an offshore investment be purchased in my Account, and by signing this form, I acknowledge that I have done so.
- Additionally, the asset sponsor may impose similar requirements for Pacific Premier Trust related to the processing of this purchase. Pacific Premier Trust's policy is that it will provide a certification of compliance with United States anti-money laundering/anti-terrorism regulations applicable to Pacific Premier Trust. If the asset sponsor requires additional information beyond the certification, Pacific Premier Trust reserves the right to decline to provide such information and to instead characterize the offshore fund investment as no longer administratively feasible. I understand and acknowledge that Pacific Premier Trust and its related entities will not be responsible for any consequences resulting from such determination.
- x. In the case of selecting pre-authorized capital commitments, I additionally acknowledge the following: I authorize Pacific Premier Trust to fund any capital commitments pursuant to the investment sponsor's or fund's request. An investor's liability is limited to his or her cash investment (including amounts subscribed for but not yet paid). I acknowledge that I am responsible for monitoring the cumulative commitment amount with respect to the investment and authorize Pacific Premier Trust to meet capital commitments as requests are received. I understand, acknowledge and agree that if I want to cancel this standing authorization, I must contact Pacific Premier Trust via phone as soon as possible. I understand that it is my responsibility to ensure sufficient funds are available in my Account to satisfy any upcoming capital call, and hereby indemnify Pacific Premier Trust and its affiliates from any legal or financial liability including any damages, fees, costs or expenses arising therefrom that may arise due to a missed capital call because of insufficient funds in my Account.
- xi. I acknowledge that I have received, understand, and agree to Pacific Premier Trust's Valuation Reporting Policy as outlined in the Custodial Agreement. I understand that Pacific Premier Trust must receive annual valuations, or the investment(s) may be distributed to me at the last reported value.
- xii. I understand, acknowledge and agree that any dispute regarding the investment(s) shall be handled pursuant to the terms of the Custodial Agreement. I understand that the prevailing party shall be entitled to recover all legal fees, reasonable costs and expenses and that these shall be in addition to any award of damage or any other relief to which the prevailing party is entitled.



## 2. AGE 72 NOTICE

Effective January 1, 2023, the SECURE 2.0 Act of 2022 has changed the age requirement for Account Owners to take their first Required Minimum Distribution (RMD) from 72 to 73. This applies only to individuals reaching 73 after December 31, 2022. If you reached age 72 in 2022, you are still subject to RMD requirements, and must take your first distribution (for 2022) no later than April 1, 2023 and your second distribution (for 2023) by December 31, 2023.

I certify that I have read the applicable section for the transaction I have chosen, and understand and agree to all terms.

## 3. ACCOUNT OWNER'S SIGNATURE REQUIRED

In the case of a transfer or direct rollover, the current Trustee/Custodian is authorized to send cash and/or assets to Pacific Premier Trust as specified.

For the transfer of an inherited IRA, I certify that I am the sole beneficiary of the asset(s) requested and agree to hold Pacific Premier Trust and its related entities harmless in the event that any other beneficiary makes a claim against this account.

In the case of a rollover, I understand it is my sole responsibility to determine the validity of any rollover contribution and to initiate and make such rollover deposit; I irrevocably elect to roll over the asset(s) in this transaction.

I acknowledge that there may be a minimum cash requirement, applicable to accounts containing alternative assets, disclosed in the Fee Schedule. If this requirement is not met, I understand that additional fees may apply.

**I agree to release, indemnify, defend, and hold Pacific Premier Trust and its related entities harmless from any claims arising out of processing this transfer/rollover authorization including any damages, fees (including legal fees), costs or expenses arising therefrom.**

	ACCOUNT OWNER SIGNATURE	DATE
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**NOTE:** Your current Custodian may require that your signature be Medallion Signature Guaranteed. Please contact your current custodian for details of their requirements. A Medallion Signature Guarantee may generally be obtained from your brokerage firm, bank or other financial institution. Pacific Premier Trust's Medallion Signature Guarantee is only a guarantee of Pacific Premier Trust's acceptance signature, and is not guaranteeing the Account Owner's Signature.

## 4. DELIVERY INSTRUCTIONS

### CHECK

**Make checks payable to:**

Pacific Premier Trust, Custodian  
FBO (Client Name), Pacific Premier Trust Account Number  
FIS – Processing Center  
Attn: Pacific Premier Trust  
P.O. Box 981012  
Boston, MA 02298

### **Overnight Delivery Address**

FIS – Remittance Processing  
Loading Dock #2  
Attn: Pacific Premier Trust  
10 Dan Road  
Canton, MA 02021

### ACH

**Receiving Bank: Pacific Premier Bank**

ABA No.: 322285781  
A/C No.: 8000211010  
For Further Credit to: (Client's PPT Account Registration)  
A/C No.: (Client's Pacific Premier Trust Account Number)

### **Register Physical Securities, Non-Networked Eligible Mutual Funds & Limited Partnerships:**

Pacific Premier Trust, Custodian FBO (Client Name), IRA  
FIS – Processing Center  
Attn: Pacific Premier Trust  
P.O. Box 981012  
Boston, MA 02298

### WIRE

**Wiring Instructions for Cash:**

Receiving Bank: Wells Fargo Bank, NA  
Receiving Bank Address: San Francisco, CA  
ABA No.: 121000248  
For Credit to: Pacific Premier Trust  
A/C No.: 4268601440  
For Further Credit to: (Client's PPT Account Registration)  
A/C No.: (Client's Pacific Premier Trust Account Number)

Pacific Premier Trust performs the duties of an independent custodian of assets for self-directed individual and business retirement accounts and does not provide investment advice, sell investments or offer any tax or legal advice. Clients or potential clients are advised to perform their own due diligence in choosing any investment opportunity as well as selecting any professional to assist them with an investment opportunity.

**NON-DEPOSIT INVESTMENT PRODUCTS ARE NOT INSURED BY THE FDIC; ARE NOT DEPOSITS OR OTHER OBLIGATIONS OF, OR GUARANTEED BY, THE BANK OR ANY OF ITS DIVISIONS; AND ARE SUBJECT TO INVESTMENT RISKS, INCLUDING POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

