

Brokerage Transfer



✓ Use this form to:

- Transfer assets to T. Rowe Price Brokerage from another institution.

✗ Do not use this form to:

- Exchange between T. Rowe Price funds.
- Change ownership. Use the [Change Ownership](#) form.

Mail to:

T. Rowe Price
P.O. Box 17150
Baltimore, MD 21297-1150

Express delivery only:

T. Rowe Price Mail Code 17150
4515 Painters Mill Road
Owings Mills, MD 21117-4903

✉ This stamp indicates a signature guarantee is required.

📎 This paper clip indicates you may need to attach documentation.

1 T. Rowe Price Account

A separate form is required for each account type or delivering institution.

Check One Account Type:

- | | | |
|--|--|--|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Traditional or Rollover IRA | <input type="checkbox"/> Profit Sharing Plan (PSP) |
| <input type="checkbox"/> Joint | <input type="checkbox"/> Roth or Roth Rollover IRA | <input type="checkbox"/> Money Purchase |
| <input type="checkbox"/> Trust | <input type="checkbox"/> Inherited IRA | <input type="checkbox"/> Pension Plan (MPP) |
| <input type="checkbox"/> Estate | <input type="checkbox"/> Roth Inherited IRA | <input type="checkbox"/> Individual 401(k) |
| <input type="checkbox"/> UGMA/UTMA | <input type="checkbox"/> SIMPLE IRA | <input type="checkbox"/> SEP-IRA |
| <input type="checkbox"/> Corporate or Other Entity | | |

For a new account, visit [troweprice.com/newaccount](#) to get an account number or write "new" and enclose one of these forms:

- [Brokerage New Account](#)
- [Brokerage IRA New Account](#)
- [Brokerage Employer-Sponsored Retirement Plan New Account](#)

T. Rowe Price Brokerage Account Number	Phone
Owner Name (as it appears on statement)	Social Security Number (SSN)
Joint Owner Name (if applicable)	SSN
Trust, Estate, Corporation, or Other Entity Name (if applicable)	Tax ID Number (TIN)

NOTE: If ownership in Sections 1 and 2 does not match, complete Section 4B and provide the required signature guarantee in Section 4C.

2 Account Being Transferred

Account Statement Required to Process: Enclose a complete copy of your most recent statement dated within the last 12 months.

Statement Date (mm/dd/yyyy):

Check One Account Type:

- | | | |
|--|--|--|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Traditional or Rollover IRA | <input type="checkbox"/> Profit Sharing Plan (PSP) |
| <input type="checkbox"/> Joint | <input type="checkbox"/> Roth or Roth Rollover IRA | <input type="checkbox"/> Money Purchase |
| <input type="checkbox"/> Trust | <input type="checkbox"/> Inherited IRA* | <input type="checkbox"/> Pension Plan (MPP) |
| <input type="checkbox"/> Estate | <input type="checkbox"/> Roth Inherited IRA* | <input type="checkbox"/> Individual 401(k) |
| <input type="checkbox"/> UGMA/UTMA | <input type="checkbox"/> SIMPLE IRA (two years since first contribution) | <input type="checkbox"/> SEP-IRA |
| <input type="checkbox"/> Corporate or Other Entity | | |

***NOTE:** The deceased person and beneficiary must be the same on the account being transferred and the account receiving the transfer.

Account Number	
Owner Name (as it appears on statement)	SSN
Joint Owner Name (if applicable)	SSN

Trust, Estate, Corporation, or Other Entity Name (if applicable)	TIN	
Delivering Firm Name	Phone	
Delivering Firm Address		
City	State	ZIP Code

For more owners, check this box and attach a [separate page](#).

3 Transfer Instructions

NOTE: Your current firm may charge a fee for transferring assets.

Check one:

- Full transfer.** Transfer **all** identically registered assets in kind. Assets are moved as is and not sold. Money market funds will be liquidated and transferred as cash.
- Liquidate** in full and transfer proceeds.
- Partial transfer.** Transfer **only** the assets below. Tax lots will be based on the delivering account's tax lot disposition method.

NOTE: Skip if full transfer was checked.

Security Name	Symbol	Share Amount
<input type="checkbox"/> In Kind	<input type="checkbox"/> Liquidate	<input type="checkbox"/> All Shares
<input type="checkbox"/> In Kind	<input type="checkbox"/> Liquidate	<input type="checkbox"/> All Shares
<input type="checkbox"/> In Kind	<input type="checkbox"/> Liquidate	<input type="checkbox"/> All Shares

For more securities, check this box and attach a [separate signed page](#).

- Certificate of deposit (CD).** Liquidate and transfer proceeds.

Full Liquidation
 Partial Liquidation % or \$

Liquidation time frame:

- Immediately. I agree to pay any early withdrawal fees.
- Upon maturity (mm/dd/yyyy)

I understand that in order to transfer at the maturity date, this form must be received within 15–30 days of maturity.

For more CDs, check this box and attach a [separate page](#).

4 Signatures

Unless otherwise indicated in the instructions, transfer my entire securities account to Pershing LLC, as clearing broker for T. Rowe Price Investment Services, Inc. (receiving organization), which has been authorized by me to make payment to you of the debit balance or to receive payment of the credit balance in my securities account. If I am transferring my IRA assets, please be advised that I have adopted a new IRA custodial agreement with T. Rowe Price Trust Company as successor custodian and the receiving organization as broker. I understand that, to the extent any assets in my securities account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by Financial Industry Regulatory Authority (FINRA) Rule 11870 or similar rule of FINRA or other designated examining authority.

Unless otherwise indicated in the instructions, I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my securities account and transfer the resulting credit balance to the receiving organization. I understand that you will contact me with respect to the disposition of any other assets in my securities account that are nontransferable.

If certificates or other instruments in my securities 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 receiving organization to transfer them in its name for the purpose of sale, when and as directed by me. I further instruct you to cancel all open orders for my securities account on your books. I affirm that I have destroyed or returned to you any credit/debit cards and/or unused checks issued to me in connection with my securities account.

I understand that if the transfer constitutes a change of ownership of the assets, the new registered owners will have exclusive rights to the assets.

4A Account Owners

Sign Below

 Account Statement Required to Process: Enclose a complete copy of your most recent statement. 

All owners of the account at delivering firm must sign.

Signature(s) and Date(s) Required

Owner (as it appears on statement) Date (mm/dd/yyyy)

 **X**

Joint Owner (if applicable) Date (mm/dd/yyyy)

 **X**

Plan Administrator (PSP, MPP, and Individual 401(k) transfers) Date (mm/dd/yyyy)

 **X**

T. Rowe Price Brokerage is a division of T. Rowe Price Investment Services, Inc., member FINRA/SIPC. Brokerage accounts are carried by Pershing LLC, a BNY Mellon company, member NYSE/FINRA/SIPC. T. Rowe Price mutual funds not held as positions in your Brokerage account are serviced by T. Rowe Price Services, Inc., and are not carried by Pershing.

4B Unlike Ownership Transfers

Sign Below

Complete this section if you are transferring from an account with a different owner than the account being transferred into.

I (We) are transferring from delivery firm

Name of Firm:

Registered as (name(s) on account):

and hereby authorize this transfer to T. Rowe Price

Registered as (name(s) on account):

All owners of the T. Rowe Price account must sign. **A signature guarantee is required.** 

Signature(s) and Date(s) Required

Owner (as it appears on statement) Date (mm/dd/yyyy)

 **X**

Joint Owner (if applicable) Date (mm/dd/yyyy)

 **X**

4C Signature Guarantee

A signature guarantee is required if:

- The account being transferred is not identically registered to your T. Rowe Price account. Additional documentation may be required.
- Your current firm requires it.

You can obtain the Medallion signature guarantee from most banks, savings institutions, or broker-dealers. We cannot accept guarantees from notaries public or non-Medallion guarantors. The level of coverage provided by the guarantor's stamp must cover the dollar amount of the transaction or it may be rejected.

Medallion Signature Guarantee—Place Medallion Stamp Below



This Box for T. Rowe Price Use Only

T. Rowe Price maintains an account (or IRA/retirement plan account as applicable) for this individual and will deposit the transferred assets in the same type of account designated. T. Rowe Price's clearing number is 0443.

Authorized Signature, T. Rowe Price

Date (mm/dd/yyyy)

 **X**

Title

Brokerage Transfer Fact Sheet



Transfer Process

Complete a separate *Brokerage Transfer* form for each account type or delivering institution. Additional forms can be obtained by copying this original, visiting troweprice.com, or calling the number on the bottom of the page.

T. Rowe Price generally processes transfer requests the same day we receive them. The transfer request is then sent electronically to qualifying institutions and by mail to other institutions. Mutual fund transfers typically take two to three weeks to complete. Most Brokerage account transfers normally take approximately two weeks. In some cases, unforeseen circumstances with the delivering institution may extend the account transfer periods.

Certain investments are not eligible for transfers, such as limited partnerships and real estate investment trusts that aren't publicly traded; some foreign securities; proprietary mutual funds that are offered exclusively by the issuer and cannot be held by other firms; mutual fund families where T. Rowe Price does not have a selling agreement; and most institutional, retirement, and Advisor class shares. Some retirement plans restrict brokerage transfers. Call us to verify that your assets can be transferred.

Non-U.S. positions being transferred into your account will be held in U.S. dollars. Liquidate assets at your current firm prior to submitting this form if you wish to have assets transferred as cash. Money market funds will be liquidated and transferred as cash.

Fees

T. Rowe Price will not charge a fee to transfer assets unless a foreign security fee applies. Foreign security transfers to or from a T. Rowe Price Brokerage account may have a fee of up to \$75. Contact T. Rowe Price Brokerage to find out if a fee will be charged. Contact your current broker-dealer to find out if they will charge an outgoing transfer fee.

Transferring T. Rowe Price Mutual Funds

T. Rowe Price mutual funds held at another institution can be transferred to an existing Brokerage account using this *Brokerage Transfer* form. There is no need to complete a *Brokerage Transfer* form if your T. Rowe Price mutual funds are held at T. Rowe Price. When opening a Brokerage Advantage account, any identically registered T. Rowe Price mutual funds will be transferred into your account.

Margin or Options Transfer

A separate *Brokerage Margin* form or *Brokerage Option* form must be submitted and approved in addition to this *Brokerage Transfer* form. Approval is required prior to initiating the transfer.

Cost Basis

Securities acquired on or after the effective dates for cost basis reporting (i.e., January 1, 2011, for equities and exchange-traded funds; January 1, 2012, for mutual funds and DRIPs; and January 1, 2014, for options, bonds, and other applicable securities as defined by the IRS) are considered "covered securities," and your current institution is required to transfer the cost basis information to T. Rowe Price. Securities acquired prior to the effective dates are considered "noncovered securities," and your current institution is not required to transfer cost basis information to T. Rowe Price.

In general, you will have the opportunity to choose or change the cost basis method on any covered securities transferred up to the time of sale. For noncovered securities, you may choose or change the cost basis method up to the time of sale, but we do not report cost basis information for noncovered securities to the IRS.

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