Attention: **Charles Schwab Transfer Group**
From: **Amazon.com Associate**

Enclosed please find a Transfer of account request to move my account from Solomon Smith Barney to Charles Schwab.

Please request that SSB transfer my Amazon.com (AMZN) shares to my Schwab account via the DTC system.

Please DO NOT request via ACAT since SSB charges a $95 fee for that service.

Thank you for your attention to this matter.

Instructions:

Complete the below form and fax it (along with this cover sheet) to:
FAX: **877-824-3817**

Questions? Call: 800-536-4274

Transfer Your Account to Schwab

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- Use this form to transfer securities and/or funds from another financial institution (e.g., broker, mutual fund company, bank or insurance company) into your Schwab account.
- To transfer funds from one Schwab account to another, use the Letter of Authorization (LOA) Transfer Assets Between Schwab Accounts Form.
- To roll over assets from a 401(k) or other qualified employer-sponsored retirement plan, please see your employer for specific details.
- **If you're opening a new Schwab account, please attach a completed application to this form.**

CLEAR

PRINT

1. Tell Us About Your Account

Schwab respects your privacy. We will use the information you provide to process your transfer of account request. Read about Schwab's privacy policy at www.schwab.com/privacy.

Schwab Account

Name (First) (Middle) (Last)

Social Security/Tax ID Number

Your Schwab Account Number (If you are opening a new account, leave blank.)

Daytime Telephone Number

Account You Are Transferring

Name of Firm Currently Holding Your Account
Smith Barney

Your Account Number

Name(s) and Title of Account You Are Transferring* (as shown on your statement)

***The name and title of account should be identical to those of your Schwab account. If not, refer to Section 4.**

2. Specify Your Type of Transfer to Schwab (Choose only ONE.)

☑ **A. Brokerage or Trust Company Account Transfer**

☐ **Transfer all assets and shares to Schwab.** (Skip directly to Section 3.)

☑ **Transfer only a portion of account.** Complete the following:

	Description of Assets	Number of Shares or "All"	Sell and Transfer Cash		Transfer Shares†
1.	AMAZON.COM (AMZN)	ALL(via DTC)	☐	or	☑
2.	****PLEASE PROCESS VIA DTC****		☐	or	☐
3.	****DO NOT REQUEST VIA ACAT****		☐	or	☐

☐ **B. Mutual Fund Company Transfers**

	Description of Assets or Mutual Fund Name	Account Number	Number of Shares or "All"	Sell & Transfer Cash		Transfer Shares†	Instructions for Dividends and Capital Gains†: Cash for Both		Reinvest Both
1.				☐	or	☐	☐	or	☐
2.				☐	or	☐	☐	or	☐
3.				☐	or	☐	☐	or	☐

†If the option to reinvest is available, and you do not specify otherwise, dividends and capital gains will be reinvested.

☐ **C. Bank, Savings & Loan, Insurance, Annuity or Credit Union Transfer‡**

‡If the investment is a life insurance policy or annuity, the holding firm may require additional documentation to surrender these investments.

☐ **Transfer only cash.** Choose one: ☐ ALL $ ____________ or ☐ PORTION $ ____________

☐ **Liquidate CD or annuity immediately and transfer cash.** I am aware of and acknowledge any penalty I will incur from an early withdrawal.

☐ **Liquidate CD or annuity at maturity and transfer cash.** Specify maturity date: __ __ / __ __ / __ __ __ __ (Submit 2–3 weeks before maturity date.)

Instructions on wiring funds to Schwab: CITIBANK, NA, New York, NY 10043, ABA Number: 021-000-089, FBO: Charles Schwab & Co., Inc., Account Number: 4055-3953, FCC: (Customer name and account number).

3. Authorization to Transfer

Attach a complete copy of your most recent statement for each account you are transferring to Schwab. Note that all account holders' signatures are required on this form.

By signing below, I acknowledge that I have read and understood this form in its entirety.

Signature(s) Required

X
Account Holder Signature — Date

X
Additional Account Holder Signature — Date

CHARLES SCHWAB USE ONLY: Letter of Acceptance–To the prior custodian: Please be advised that Charles Schwab & Co., Inc. will accept the above-captioned account as successor custodian.

Successor Custodian Authorized Signature	Date	Date of Trust	Broker Clearing Number

☐ Single ☐ Joint ☐ Trust ☐ IRA ☐ Rollover ☐ Roth ☐ Keogh/QRP ☐ 403(b)

Branch/Rep ID

Non-ACAT Transfers/Reinvestment Plans Only

☐ Deliver all securities in kind and uninvested credit balance.

☐ Issue certificate for whole shares, liquidate all fractional shares and discontinue dividend reinvestment.

Omnibus Account: 1. ____________ 2. ____________ 3. ____________

0 2 5 8 0 1

 CRS 24346 (0703-8009) APP13017PDFWB-09(07/03)

3. Authorization to Transfer (Continued)

To Delivering Firm: Unless otherwise indicated in the instruction in Section 2 on previous page, please transfer all assets in my account to Charles Schwab & Co., Inc. ("Schwab"). 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 New York Stock Exchange Rule 412 or similar rule of the National Association of Securities Dealers or other designated examining authority. Unless otherwise indicated in the instruction in Section 2, 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 the successor custodian. I understand that you will contact me with respect to the disposition of any other assets in my securities account that are nontransferable. I authorize you to deduct any outstanding fees due you from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance in the account is insufficient to satisfy any outstanding fees due you, 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 their 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. 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.

For Retirement Accounts: If this transfer of account is for a qualified retirement account, I have amended the applicable plan so that it names Schwab as successor custodian. If this transfer of account is for an IRA, I hereby adopt or reaffirm my adoption of the Charles Schwab & Co., Inc. Individual Retirement Plan. If I am transferring an IRA and the IRA type indicated on my statement is different from the IRA I currently maintain at Schwab (e.g., Traditional IRA vs. Rollover IRA), I hereby authorize Schwab to commingle my IRA assets.

Fees: If the assets I am transferring are considered nonstandard assets at Schwab (such as limited partnerships), I understand that I will be charged set-up and maintenance fees.

I understand that fractional shares of stock are nontransferable, and I agree that any 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 this liquidation.

I understand that the delivering firm may or may not assess account fees for the transfer and/or termination of my account with them.

Mutual Fund Dividends and Capital Gains (Account Transfers via ACAT Only):
I understand that my delivering broker may provide Schwab with mutual fund dividends and capital gains distribution instructions for each mutual fund position, so that Schwab may implement these instructions. In the event that the instructions are not provided by the delivering broker or the dividend and/or capital gains distribution option requested is not available at Schwab, the instructions will default to reinvest (unless reinvestment isn't available, in which case dividends and capital gains will be paid in cash).

4. Discrepancies of Account Name and Type (Optional)

If the account that you are transferring is in an individual's name and your Schwab account is a joint account (i.e., in more than one individual's name), then each joint account holder must sign below. For any other discrepancies in accounts, please call 1-888-725-3530 for assistance.

We hereby authorize a transfer from the individual account of ______________________________

to the joint account at Schwab for ______________________ **and** ______________________ .

Signature(s) Required

X ______________________ PRINT ______
Joint Account Holder Signature Date

X ______________________ ______
Joint Account Holder Signature Date

For Charles Schwab Use Only

Receiving Firm Information

Name and Address
Charles Schwab & Co., Inc., Phoenix Retail Operations Center
P.O. Box 52114, Phoenix, AZ 85072-2114
1-888-725-3530

Overnight Mailing Address
Charles Schwab & Co., Inc.
Phoenix Retail Operations Center
2423 E. Lincoln Drive, Phoenix, AZ 85016

Tax ID Number
94-1737782

Schwab Clearing Number
0164

Delivery Instructions

All DTC-Eligible Securities
All deliveries MUST include client name and Schwab account number.
Delivery to DTC Clearing 0164, Code 40

Dividend Reinvestment or Closed-End Mutual Funds
All deliveries MUST include client name and Schwab account number.
Issue a certificate for all whole shares, liquidate all fractional shares and discontinue dividend reinvestment.

Physical Delivery of Securities
All deliveries MUST include client name and Schwab account number.
Charles Schwab & Co., Inc., Phoenix Retail Operations Center
Attn: Cashiering, P.O. Box 52114, Phoenix, AZ 85072-2114
Overnight Mailing Address:
Charles Schwab & Co., Inc., Phoenix Retail Operations Center
Attn: Cashiering, 2423 E. Lincoln Drive, Phoenix, AZ 85016

Fed Book-Entry Securities (e.g., Treasury Notes)
All deliveries MUST include client name and Schwab account number.
US TR NYC/TRUST
ABA #: 021001318
Account Charles Schwab & Co., Inc.
U.S. Trust A/C #: 85225000
Schwab Customer A/C #:______________________ (Must include 8-digit customer A/C #, if applicable.)

Liquidate Money Fund and transfer cash according to instructions listed in the next sections titled "Fed-Wired Monies" or "Forward Checks."

Fed-Wired Monies
All deliveries MUST include client name and Schwab account number.
Wire to: Citibank NA, 111 Wall Street, New York, NY 10043
ABA #: 021000089
FBO: Charles Schwab & Co., Inc.
A/C #: 40553953
For the Account of Schwab A/C #: ______________________

Forward Checks
All deliveries MUST include client name and Schwab account number.
Charles Schwab & Co., Inc., Phoenix Retail Operations Center
Attn: Cashiering, P.O. Box 52114, Phoenix, AZ 85072-2114
Overnight Mailing Address:
Charles Schwab & Co., Inc., Phoenix Retail Operations Center
Attn: Cashiering, 2423 E. Lincoln Drive, Phoenix, AZ 85016

ACAT Mutual Fund Registration Instructions
All deliveries MUST include client name and Schwab account number.
Charles Schwab & Co., Inc., Attn: Mutual Funds
101 Montgomery Street, San Francisco, CA 94104
Dividend & Capital Gains Option ☑ Reinvest ☑ Deposit to New Plan

Broker Instructions (if broker agreement exists)
All deliveries MUST include client name and Schwab account number.
Charles Schwab & Co., Inc., 101 Montgomery Street, San Francisco, CA 94104

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Frequently Asked Questions

How long will it take?

Depending on the type of securities, a typical transfer will take approximately three weeks. However, some may take up to six weeks or perhaps even more.

Please remember that while we make every effort to ensure a swift transfer, the actual transfer time depends on how quickly securities are liquidated and released or transferred by the financial institution currently holding your investments. If you are requesting a security to be sold, and you wish to control the timing of your sell order, you must contact the firm currently holding your securities to place your order.

Will I be charged a fee?

An exit fee may be charged by your previous financial institution upon receiving your transfer request.

Are my funds transferable?

These assets can usually be transferred directly:

- Stocks and bonds
- Mutual funds (To make sure your fund is available through Schwab, call 1-888-725-3530.)
- Unit investment trusts
- Options (Preapproval is necessary to trade options at Schwab.)
- Registered limited partnerships and promissory notes (Set-up and maintenance fees apply.)
- Master limited partnerships and exchange-traded REITs
- Ginnie Mae and Fannie Mae certificates
- Certificate of deposit proceeds (cash)

These assets must be converted to cash:

- Money market funds
- Mutual funds not available at Schwab
- Commodities
- Foreign currency options
- Most private placement limited partnerships
- Investment products offered exclusively by other institutions

Rollovers from company retirement plans

In the case of a direct rollover from a 401(k) or other qualified employer-sponsored retirement plan, you should contact the plan administrator to initiate the rollover process; this typically requires the use of your company's own documents. Please do not use this form. See your employer for specific details about moving your assets to Schwab. For more information, request a Rollover IRA Guide by going to **www.schwab.com** or calling **1-888-725-3530**.

403(b) Transfers

- The Internal Revenue Code restricts investments of 403(b)(7) Custodial accounts to mutual funds only; investments in equities or bonds are not allowed.
- If your 403(b) is currently invested in money market funds, mutual funds not available at Schwab, investment products offered exclusively by other institutions, or an annuity, you will need to convert the assets to cash before transferring to Schwab.
- The minimum transfer amount for Schwab 403(b)(7) accounts is $1,000.
- Distribution rules for your Schwab 403(b)(7) account may be more restrictive than for your previous 403(b) account or contract.

Questions? Call 1-888-725-3530.

Transfer Your Account

Checklist for a Successful Transfer

- ☐ Use a separate form for each account you are transferring. Photocopies are acceptable.
- ☐ Transfers should occur between "like" accounts; i.e., a joint registered account should transfer to a joint account at Schwab, an IRA to an IRA. (Otherwise, see Section 4 for instructions.)
- ☐ Attach a copy of your most recent statement for each account you are transferring.
- ☐ Complete all information and have all account holders sign.
- ☐ Mail your completed form to the address specified in the cover letter. Or call us for the appropriate address.
- ☐ Visit www.schwab.com for a status update on your transfer.

Types of Transfers:

A. Brokerage Company Transfers

- If you want dividend reinvestment on your stocks, you will need to call 1-888-725-3530 after your transfer is complete.

B. Mutual Fund Company Transfers

- If dividend reinvestment is not available for your shares, Schwab will automatically pay all future dividends and capital gains distributions in cash.
- Requests to sell mutual fund positions are dependent upon the delivering firm receiving and processing the request and may take several weeks to complete.
- If your fund is not transferable as shares, you may consider initiating a redemption at the fund company and request that they deliver cash to your Schwab account for a faster transfer.

C. Bank Transfers

- If you are transferring a maturing certificate of deposit, submit no more than two or three weeks before the maturity date. Otherwise, you may incur early withdrawal penalties.
- If a phone number for your bank is not on your account statement, please write one in to prevent any delays.
- Your bank may charge a wire fee to transfer funds to Schwab.

Important Transfer Information

- Call 1-888-725-3530 or visit www.schwab.com for additional forms.
- Contingent orders will not be accepted.*

*Schwab 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 before we have actual receipt of your assets and the transfer process is complete.

Thank you for investing with Charles Schwab.