

**People's Securities, Inc.**

A subsidiary of  **People's United Bank**

Transfers generally require four (4) to six (6) weeks for completion. Any residual balances that remain as a result of dividends etc. with the delivering brokerage firm after your transfer has been completed will follow in approximately two (2) to four(4) weeks. Please provide all of the following information in order to avoid delay. Complete this form and mail it to us at People's Securities, Inc., P.O. Box 31, Bridgeport, CT 06601-9933.

To expedite your account transfer, the name(s)/title on the account to be transferred must match the name(s)/title on your receiving People's Securities account. If the account titles do not match, a new brokerage account must be established with like titles to accept the funds, Please see the information below for more detailed instructions.

If you have questions please contact our Customer Service department at (800) 392-3009. What to expect when transferring your account.

**What to expect when transferring your account****Mutual Funds**

Not all mutual funds can be held at all brokerage firms. Proprietary and money market funds must be liquidated prior to transferring them. Contact your tax advisor regarding possible tax consequences that may result from the liquidation of certain mutual funds and/or accounts. For more information, please contact the transferring firm directly, or our Customer Service department at (800) 392-3009 to find out if People's Securities Inc. is able to hold certain mutual funds.

**Margin and Options Accounts**

Before initiating the transfer of a margin and/or options accounts with an existing debit balance and/or options contract into People's Securities, Inc., be sure that you have been approved for margin/options trading in your People's Securities, Inc. brokerage account. Contact our Customer Service department to ensure that your account meets People's Securities, Inc.'s margin/options requirements.

**Debit Balances**

Many firms will charge fees to transfer your account, which may result in a debit balance once your transfer is completed. Fees that create debit balances must be resolved by either liquidating assets within your account or depositing a check in your People's Securities, Inc. brokerage account. To avoid transferring the account with a debit balance, contact your delivering broker to clear up any fees prior to transferring the account.

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Brokerage Account Number

Internal Use

ACAT

Non-ACAT Full

**Information About The Account From Which You Are Transferring**

Account Title	Social Security No.
Name of the Institution (Brokerage Firm, Mutual Fund Company or Bank)	Account No.
Address of the Institution	
PLEASE BE SURE TO ATTACH A COPY OF THE LATEST STATEMENT OF THE ACCOUNT YOU ARE TRANSFERRING.	
Institution's Clearing No. (To Be Completed by People's Securities Inc.)	

**If You Are Transferring from Another Brokerage Firm, Please Complete This Section:**

- Transfer all the assets in my account in kind (if you check this, there is no need to complete the remainder of this section)  
 OR  
 Transfer only those assets listed below. If you need additional space, simply provide the information requested below on a separate sheet of paper.

Security/Mutual Fund Name	Symbol	Quantity	Security/Mutual Fund Name	Symbol	Quantity

If Mutual Fund: Check One:  Reinvest my dividends or  Issue dividends in cash

Money market funds and most proprietary mutual funds held at brokerage firms cannot be transferred in kind. These must be liquidated prior to transfer.

**Please Read This Section and Sign Below:**

Per my instructions above, please transfer my securities account to People's Securities Inc., 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. 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 the Financial Industry Regulatory Authority.

Unless otherwise indicated in the instructions above, 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 such 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.

Account Holder	Date		
Joint Account Holder	Date		
People's Securities Signature	Employee Number	Phone No.	Date

**Important: You must attach a copy of your most recent statement.**

Send all correspondences to: People's Securities Inc. P.O. Box 31, Bridgeport, Connecticut 06601-0031 or call 1-800-392-3009

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## For People's Securities Use Only

**Receiving Firm Information**

Name and Address: People's Securities Inc.  
P.O. Box 31  
Bridgeport, Connecticut 06601-0031

Tax ID Number: 06-1082686

**Delivery Instructions**

All deliveries MUST include client name and account number.

**All DTC-Eligible Securities**

Delivery to DTC: Clearing #158, People's Securities, Inc - 268-00020-17. All deliveries must include client's name and People's Securities Inc. brokerage 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's name and People's Securities Inc. brokerage account number.

**Physical Delivery of Securities**

People's Securities Inc., P.O. Box 31, Bridgeport, Connecticut 06601-0031, Cashier's Department. All deliveries must include client's name and People's Securities Inc. brokerage account number.

**Book-Entry GNMA Securities**

PTC/GNMA, "BNQRC" FFC: People's Securities Inc. 268-00020-17 and client's name. All deliveries must include client's name and People's Securities Inc. brokerage account number.

**Fed Wireable Securities Instructions**

ABA 021000018, BK OF NYC/QUICK, FFC: People's Securities Inc. 268-00020-17 and client's name. All deliveries must include client's name and People's Securities Inc. brokerage account number.

**Midwest Depository Eligible Securities**

Registered Securities – FINS #28470. Bearer Securities Symbol – "HRILOB".

**Liquidate Money Fund and Transfer Cash According to Instructions Listed in the Sections Below Titled "Fed Wired Monies" or "Forward Checks"**

All deliveries must include client's name and People's Securities Inc. brokerage account number.

**Fed Wired Monies**

ABA 221172186, People's United Bank, A/C #001-7003197, People's Securities Inc., People's Securities Inc. brokerage account number and client's name. All Fed wires must include client's name and People's Securities Inc. brokerage account number.

**Forward Checks**

Brokerage Account, People's Securities Inc., P.O. Box 31, Bridgeport, Connecticut 06601-0031, Attn: Cashier's Department. All deliveries must include client's name and People's Securities Inc. brokerage account number.