Transfer of Assets Instructions

Use this form to authorize the transfer of assets, currently at another firm, to your USAA investment account (at National Financial Services LLC ("NFS"), Member NYSE, SIPC, and USAA Federal Savings Bank as successor Custodian/Trustee).

Helpful to Know

- Do NOT use this form to:
  - convert an IRA to a Roth IRA.
  - roll over from a 401(k), 403(b) or other workplace plan.
  - transfer from a non-retirement checking account.
  - transfer from one account to another account at your Broker/Dealer.

- Use one form for each account you’re transferring.
- Transfers can create legal issues (especially around beneficiaries and form of ownership) as well as tax issues and financial risks. Consult the appropriate professionals before making a transfer.
- Avoid delays! Attach all pages of a recent account statement!

1. Receiving Account Information

List ALL names EXACTLY as they appear on your USAA account receiving the transfer of assets. Check the appropriate box for the type of USAA account. All account owners of this account must sign the form in Section 4.

2. Account Being Transferred

List ALL names EXACTLY as they appear on the account you are transferring. Check the appropriate box for the type of account. All account owners of this account must sign the form in Section 4.

3. Transfer Instructions

Investment or Trust Company Transfer
If you are transferring an entire account that has margin and options trading privileges, you must also apply for options or margin to transfer positions that require options or margin.

Mutual Fund Company Transfer
Provide all fund account numbers if they are different than the account number provided in Section 2.

Certain proprietary mutual funds may not be eligible for in-kind transfers and must be liquidated.

Bank or Credit Union Transfer
Do NOT use this form to transfer a non-retirement bank checking account. If you are liquidating a CD at maturity, submit your request at least 21 days, but no more than 60 days, before maturity, to ensure that we can process your request.

Annuity Transfer
Contact the annuity firm or your Broker/Dealer for additional requirements before you submit this form.

Transfer Agent Transfer
Complete this section to transfer shares held electronically with the transfer agent. Certificated shares are not eligible for transfer. Contact your Broker/Dealer for deposit instructions.

4. Signatures and Dates

All owners of BOTH accounts must sign and date in the signature section. If an owner’s name appears differently on different accounts, that owner must sign both ways.

Registration Differences Requirements
If there is ANY difference in the owner name(s) or account type between Section 1 and Section 2, you must take the following steps:

Non-retirement Accounts: If the difference(s) between your Section 1 and Section 2 information are listed below, attach any documents indicated. If the difference is not listed, contact your Broker/Dealer for instructions BEFORE you submit this form. In either case, all owners must sign this form in Section 4, and read the Account Owner Terms and Conditions.

Retirement Accounts: Contact your Broker/Dealer for instructions BEFORE you submit this form.

Examples of Registration Differences

<table>
<thead>
<tr>
<th>Differences Between Accounts</th>
<th>Documents to Attach</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last name changed</td>
<td>Marriage/divorce certificate</td>
</tr>
<tr>
<td>First/middle name changed or listed differently</td>
<td>Letter explaining difference</td>
</tr>
<tr>
<td>One account is joint, the other is individual</td>
<td>None</td>
</tr>
<tr>
<td>Different trustee(s) listed</td>
<td>Updated trust document</td>
</tr>
</tbody>
</table>
### 1. Receiving Account Information

<table>
<thead>
<tr>
<th>Account Number</th>
<th>Account Owner/Trust/Entity Name</th>
<th>Social Security Number/Taxpayer ID Number</th>
<th>Additional Account Owner/Trust/Entity Name</th>
<th>Social Security Number/Taxpayer ID Number</th>
</tr>
</thead>
</table>

**Receiving Account Type**
- [ ] Non-Retirement Accounts
- [ ] Retirement Accounts
  - [ ] Traditional, SEP, or Rollover IRA
  - [ ] Roth IRA
  - [ ] SIMPLE IRA
  - [ ] Beneficiary IRA
  - [ ] Roth Beneficiary IRA
  - [ ] Coverdell ESA

### 2. Account Being Transferred

<table>
<thead>
<tr>
<th>Account Number</th>
<th>DTC (if known)</th>
<th>Account Owner/Trust/Entity Name(s)</th>
<th>Delivering Firm Name</th>
<th>Address</th>
<th>City</th>
<th>State/Province</th>
<th>Zip Code</th>
<th>Delivering Firm Phone</th>
</tr>
</thead>
</table>

**Delivering Account Type**
- [ ] Non-Retirement Accounts
- [ ] Retirement Accounts
  - [ ] Traditional, SEP, or Rollover IRA
  - [ ] Roth IRA
  - [ ] SIMPLE IRA
  - [ ] Beneficiary IRA
  - [ ] Roth Beneficiary IRA
  - [ ] Coverdell ESA

### 3. Transfer Instructions

**A. Investment or Trust Company Transfer**

- [ ] 1. Transfer the entire account. Skip to Section 4.
- [ ] 2. Transfer only part of my account In Kind, as detailed below:
  - Security Name or Symbol
  - # of Shares
  - Check here if requesting ALL shares of this security.

**B. Mutual Fund Company Transfer**

- [ ] In Kind
- [ ] Liquidate

**C. Bank or Credit Union Transfer**

- [ ] 1. Transfer cash only. All cash will be transferred unless you indicate a different amount to transfer here:
  - Cash Transfer Amount

  $ ____________________________

- [ ] 2. Liquidate CD immediately and send cash.
  - CD Maturity Date MM/DD/YYYY
  - You may be charged a penalty for early withdrawal.

- [ ] 3. Liquidate CD at maturity and send cash.

The request must be submitted at least 21 days before maturity, and no more than 60 days before maturity.
3. Transfer Instructions  Complete either A, B, C, D or E.

D. Annuity Transfer
All annuities must be surrendered (cashed in), which could mean tax implications, penalties, fees, and loss of product features.
- 1. Full Annuity Surrender  Transfer the entire amount in cash immediately.
- 2. Partial Annuity Surrender  Transfer the following cash amount:
- 3. Partial Annuity Surrender  Transfer ONLY the penalty-free portion.

Cash Amount

E. Transfer Agent Transfer
Security Symbol or Name
- 1. Transfer all whole shares and sell fractions.
- 2. Transfer all whole shares only.
- 3. Transfer all whole shares, sell fractions, and close account.
- 4. Transfer some eligible whole shares.

# of Shares

4. Signatures and Dates  All owners of both accounts must sign this form.

By signing below you instruct USAA or NFS and the Delivering Firm to act on all instructions given on this form and you acknowledge and agree that:
- The delivering firm (“Delivering Firm”) will transfer the assets in your account in accordance with your transfer instructions above, to For USAA Investment Accounts - National Financial Services LLC (“NFS”), Member NYSE, SIPC, and USAA Federal Savings Bank as successor Custodian/Trustee.
- Affirm that you are aware of any tax or financial implications that may arise in connection with this transfer or with the sale or liquidation of any assets prior to transfer, including penalties, fees, financial losses, or losses of product features or benefits.
- Any assets not readily transferable might not be transferred within the time frames set by FINRA or other applicable authorities.
- You authorize the Delivering Firm to sell any non-transferable money fund shares, and any shares of other mutual funds that you have requested be sold, and transfer the proceeds as cash.
- You Authorize the Delivering Firm to deduct from your account any fees that you owe, and, if necessary, to sell assets in your account to pay those fees.
- You instruct the Delivering Firm to transfer any physical certificates in good deliverable form, including any necessary tax waivers.
- You authorize the Delivering Firm to cancel any open orders on your account when it receives this form.
- You have destroyed or returned any credit/debit cards and unused checks associated with your account at the Delivering Firm, if closing that account.

Retirement Accounts
- If you are 70½ or older, this transfer will not violate IRS rules on required minimum distributions.
- If you are transferringuser a Roth IRA, it is your responsibility to track the Five-Year Aging Date.

If you are transferring an account with different ownership or registration than your USAA or NFS account, all delivering account owners must sign below.

Print Account Owner Name  First, M.I., Last

Account Owner Signature  Date  MM DD YYYY

MEDALLION SIGNATURE GUARANTEE

Print Account Owner Name  First, M.I., Last

Account Owner Signature  Date  MM DD YYYY

MEDALLION SIGNATURE GUARANTEE

Print Account Owner Name  First, M.I., Last

Account Owner Signature  Date  MM DD YYYY

MEDALLION SIGNATURE GUARANTEE

NFS will carry your investment account accepts appointment as successor custodian/trustee for the retirement account referenced herein. Transfer the account as instructed on this form, on a trustee-to-trustee basis, to the appropriate successor custodian/trustee, c/o NFS (for USAA investment accounts).

Successor/Custodian/Trustee’s Representative
Larry Bordovsky
Signature
Date  MM - DD - YYYY

Provide all pages of the signed Transfer of Assets form and all pages of your most recent statement to your Broker/Dealer.

USAA means USAA Investment Management Company, USAA Financial Advisors, Inc. (both registered broker dealers), USAA Shareholder Account Services or USAA Federal Savings Bank as successor custodian/trustee where appropriate.

1.747272.110 [BEM] - 414980.8.0 (06/12)

Page 2 of 2  009990202
98129-0719