



ACCOUNT TRANSFER FORM: v.11.2019

Please fill up clearly in **BLOCK LETTERS** and affix signature(s). This form is only applicable for Individual and In-Trust-For (ITF) accounts.

This is to request and authorize COL Financial to transfer my assets and perform the following actions stated below:

ACCOUNT DETAILS:

FROM COL ACCOUNT: <i>(Individual/ In-Trust-For)</i>					-					ACCOUNT NAME:
TO COL ACCOUNT: <i>(Joint Account)</i>					-					ACCOUNT NAMES:

STOCK(S) TO TRANSFER

Transfer all my stock position(s) that can be transferred to my new COL account

Note: Average price and total cost of the shares will be retained

MUTUAL FUNDS AND STOCKS LIMITED TO LOCAL INVESTORS

Liquidate all mutual fund positions and stocks that cannot be transferred to my new COL account

Note: If there is a change in citizenship in the new COL account, stocks limited to local investors would need to be liquidated.

CASH AMOUNT TO TRANSFER

Transfer all my cash balance to my new COL account including proceeds of all liquidated position.

ACCOUNT CLOSURE

Close my Individual or In-Trust-For Account

DIVIDENDS AND RIGHTS

Transfer all dividend and rights credited to my closed account at a later date to my new COL account.

TERMS AND CONDITIONS:

- a. I understand that Mutual Fund shares cannot be transferred and will have to be liquidated before transfer to another COL account.
- b. Any dividends and rights to be credited to a COL account after the executed transfer date will remain in the entitled account and will be transferred at a later time.
- c. COL reserves the right not to transfer any stocks that have foreign ownership limitations should the receiving account be a foreign account.
- d. I further represent and warrant that (i) this request is made solely to clarify the true ownership of the assets in the account since the same was opened and not to circumvent any applicable laws and regulations; (ii) I have complied with all laws in relation to the request, including, applicable tax laws and regulations; and (iii) I hold COL free and harmless from any and all losses, damages, costs, penalties, fines, and taxes incurred as a result of action or inaction taken by COL in response to the request.
- e. I agree to release and forever discharge COL, all of its employees, shareholders, officers, agents, and directors from any action or from any claim of any kind or character, sum money, damages, claims, and damages whatsoever which we ever had, may have or which we will have arising out of or in connection with the Account and not to institute any action against the COL, any of its employees, shareholders, officers, agents, and directors in relation to the Account.

PRIMARY ACCOUNT HOLDER SIGNATURE

Signature ✓				Date Signed:											
FOR COL'S USE ONLY															
RECEIVED BY:	DATE RECEIVED:	APPROVED BY:	DATE APPROVED:	PROCESSED BY:	DATE PROCESSED:										