

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.

Helpful Facts

Complete a separate [Brokerage Transfer](#) form for each account type, account number, 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.

A complete statement is required in order to initiate the transfer. The statement must show the account registration, the account number, and the holdings, and it must be dated within the past 12 months.

List ALL names EXACTLY as they appear on the receiving T. Rowe Price account and the account being transferred. Include any trustees. For UGMA/UTMA accounts, list the minor first, then the custodian. Check the appropriate box for the type of account held at T. Rowe Price and at the delivering firm. All account owners must sign this form.

If there is ANY difference in the owner name(s) between Section 1 and Section 2, you must complete Section 4D.

If there is ANY difference in the account type between Section 1 and Section 2, please contact T. Rowe Price for instructions BEFORE submitting this form.

For a new account, visit [troweprice.com/newaccount](#) to get an account number or enclose one of these forms and T. Rowe Price will insert the new account number when established:

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

For IRAs, if your RMD needs to be distributed after the transfer to T. Rowe Price, distributions may be processed online at [troweprice.com](#) or by completing the [IRA Distribution](#) form or [SEP-IRA and SIMPLE IRA Distribution](#) form after the transfer is complete.

Investments That Can't Be Transferred to T. Rowe Price in Kind

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, 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.

Liquidation

To have noncash assets transferred as cash, you first must liquidate the asset at your current firm before submitting this form.

T. Rowe Price cannot hold other firms' money market funds. Money funds that are not transferable will need to be liquidated and transferred as cash prior to submitting the form.

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. Direct Registration System (DRS) fee of \$15.00 is charged when book entry positions are moved from a transfer agent into a T. Rowe Price Brokerage account. 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.

Margin or Option 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; January 1, 2014, for options, bonds, and other applicable securities as defined by the IRS; and January 1, 2016, for complex bonds and options) 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.

Transfer Time Frames

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.



Brokerage Transfer

1 T. Rowe Price Account

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

T. Rowe Price Account Type:

Nonretirement Accounts

- Individual Joint Trust
 Estate UGMA/UTMA Corporate or Other Entity

Retirement Accounts

- Traditional or Rollover IRA Other Qualified Plan
 Roth or Roth Rollover IRA Individual 401(k)
 Inherited IRA Roth Inherited IRA
 SIMPLE IRA SEP-IRA

T. Rowe Price Brokerage Account Number (Not Investor Number) (If accompanied with a New Account Form, T. Rowe Price will enter the new account number)

Owner Name

Phone

Social Security Number (SSN)

Joint Owner or Custodian 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 do not match, you may be required to complete Section 4B and provide the required signature guarantee in Section 4C. Please contact T. Rowe Price at **800-225-7720** to discuss your options.

2 Account Being Transferred

Transferring Firm Account Type:

Nonretirement Accounts

- Individual Joint Trust
 Estate UGMA/UTMA Corporate or Other Entity

Retirement Accounts

- Traditional or Rollover IRA Other Qualified Plan
 Roth or Roth Rollover IRA Individual 401(k)
 Inherited IRA Roth Inherited IRA
 SIMPLE IRA SEP-IRA
 (two years since first contribution)

Account Number		
Owner Name (as it appears on statement)		SSN
Joint Owner or Custodian 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](#).



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):

3 Transfer Instructions

Brokerage account transfers are in kind.

Liquidate assets at current firm prior to submitting this form if you wish to have assets transferred in cash.

Check one:

- Transfer the entire account.** Transfer **all** identically registered assets in kind. Assets are moved as is and not sold. Money market funds that are not transferable will need to be liquidated and transferred as cash. *Go to Section 4.*
 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, or Cash <i>(partial transfers only)</i>	Number of Shares or "ALL"

Security Name, Symbol, or Cash <i>(partial transfers only)</i>	Number of Shares or "ALL"

- 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 dated within the last 12 months.** 

Statement Date (mm/dd/yyyy):

All owners of the account at the delivering firm must sign.

Signature(s) and Date(s) Required	
Owner (as it appears on statement)	Today's Date (mm/dd/yyyy)
 X	
Joint Owner (if applicable)	Today's Date (mm/dd/yyyy)
 X	
Plan Administrator (retirement plan and Individual 401(k) transfers)	Today's 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)	Today's Date (mm/dd/yyyy)
 X	
Joint Owner (if applicable)	Today's Date (mm/dd/yyyy)
 X	

4C Signature Guarantee Sign Below

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.

or

- 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



4D One and the Same Letter 

If you are transferring an account and the name(s) at T. Rowe Price does not exactly match but is still one and the same person, please complete this section. This section should be utilized if your name does not match due to one or more of the following: marriage, divorce, name spelling error, or any type of name change including Jr., Sr., etc. If a last name difference, **you must supply legal documentation**, that is, marriage/divorce certificate, passport, state-issued driver's license, or government ID.


I _____ (please print name)
 am ONE and the SAME as _____
 (please print name), as shown on the delivering firm account.

Please sign name BOTH ways.

Signatures

Signature 1	Today's Date (mm/dd/yyyy)
 X	
Signature 2	Today's Date (mm/dd/yyyy)
 X	

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	