DUNHAM & ASSOCIATES

WHEN PERFORMANCE COUNTS

REQUEST TO TRANSFER ASSETS (NON-IRA)

DUNHAM TRUST COMPANY

☐ Make checks payable to:
Dunham Trust Company
c/o Dunham & Associates
P.O. Box 910309
San Diego, CA 92191

DUNHAM FUNDS℠

☐ Make checks payable to:
Dunham Funds
c/o Gemini Fund Services, LLC
17605 Wright Street, Suite 2
Omaha, NE 68130

1. Dunham Account Information

Account Number
Account Owner(s) Name
Account Owner(s) Name
Account Title
Social Security Number or Tax ID Number
Financial Advisor

2. Transferring Account Information

Account Number		
Account Owner(s) Name		
Account Owner(s) Name		
Delivering Firm Name		
Delivering Firm Address		
City	State	Zip Code
Delivering Firm Phone Number / Contact Person		

Account Type at Dunham

- ☐ Individual
- ☐ Joint
- ☐ Trust
- ☐ Corporate / Business
- ☐ UGMA / UTMA
- ☐ Qualified Retirement Plan, Type of Plan ____________________
- ☐ Estate
- ☐ Other ________________

Account Type Being Transferred

- ☐ Individual
- ☐ Joint
- ☐ Trust
- ☐ Corporate / Business
- ☐ UGMA / UTMA
- ☐ Qualified Retirement Plan Type of Plan ____________________
- ☐ Estate
- ☐ Other ________________

3a. Transfer Instructions (<u>For direct accounts held with transfer agent please skip to 3b</u>)

I/We authorize and direct you to liquidate the account/policy noted above per the following instructions:

- ☐ Full ACAT: All assets must be transferred in kind using clearing number _________.
- ☐ Partial ACAT: All assets listed below to be transferred in kind using clearing number _________.
- ☐ Liquidate all assets & send cash proceeds to address checked above. (Please have account liquidated prior to Dunham transfer)
- ☐ Send cash proceeds of all investments at maturity.
- ☐ Partial Liquidation: Immediately liquidate the asset/s listed below and send cash proceeds to address checked above.

Quantity	Asset Description	Symbol

3b. Transfer Instructions – Direct Accounts

- ☐ Liquidate all assets & send cash proceeds to address checked above. (Please have account liquidated prior to Dunham transfer)
- ☐ Partial Liquidation: Immediately liquidate the asset/s listed below and send cash proceeds to address checked above.

Quantity	Asset Description	Symbol

****Dunham is not responsible for market fluctuation on requests with written liquidation instructions.**

4. Required Signatures All owners must read, sign, and date.

By signing below, you instruct Dunham and the delivering firm to act on all instructions given on this form, and you agree to accept all terms and conditions on this form and in the “Terms and Conditions” section of this form. The custodian / trustee agrees to accept these funds as a transfer. **Financial Advisor is responsible for determining if delivering firm requires Medallion Guarantee of Client signature. If yes, affix Financial Advisor firm stamp.**

X____

Signature of Owner / Trustee/ Organization's Representative Date

Medallion Signature Guarantee

X____

Signature of Owner / Trustee Date

Medallion Signature Guarantee

CHECKLIST

- ☐ Include a complete copy of the most recent account statement from your current firm.
- ☐ All account owners / authorized parties have signed
- ☐ Medallion Signature Guarantee has been obtained for each signature

INSTRUCTIONS

Dunham Account Info The registration type and / or ownership of the account you are transferring should match the registration type and ownership of the account you maintain or are opening at Dunham.

Account Being Transferred It is important you provide all necessary information so that Dunham and the transferring firm may identify that the information regarding both accounts match.

Transfer Instructions Regardless of funding source or type of account at the transferring company, all assets intended for investment in the Dunham Account using the Request to Transfer Assets form are to be liquidated and transferred as cash unless specifically requested in section 3. For all accounts, cash assets are deposited to your account based on existing instructions already on file. For Dunham Funds accounts, including investment into the N and C share class of funds, all investments will be deposited into a money market account - Milestone Treasury Obligations Portfolio (MTOXX) if no prior investment elections have been chosen by you and/or your Financial Advisor.

Some types of transfers require special arrangements or are subject to fees.

- *Certificates of Deposit*. Proceeds from a bank CD will be transferred at maturity unless otherwise indicated. To allow enough time for transfer, submit this form for transfer from a CD 3 weeks or more from the date of maturity. Do not submit this form for transfer from a CD more than 8 weeks prior to maturity.
- *Fees.* Dunham does not charge you a fee to transfer your assets to a Dunham account from another institution. You may be responsible for liquidation, transfer, termination, surrender, and penalty fees when you transfer your assets. Check with the firm transferring your assets for any information regarding these fees.
- *Private Investments.* Investment such as Limited Partnerships, Trust Deeds, LLCs, and Private Partnerships may only be held in certain registration types and require approval from Dunham & Associates Investment Counsel, Inc. or Dunham Trust Company prior to requesting a transfer
- *Annuities.* If transferring cash from an annuity, check with your insurance company to determine the paperwork they will require you to complete in addition to this form. Submit all paperwork to Dunham with the Dunham Request to Transfer Assets Form.

TERMS AND CONDITIONS

Agreement I hereby accept the elections I made above, and I agree with the terms of this form, and authorize and request Dunham & Associates or Dunham Trust Company to make the above requested transfer. I acknowledge that the custodian / trustee (or its agents, affiliates, employees, or successor custodians), cannot provide me with legal advice, and I agree to consult with my own tax or legal professional when I need advice. I understand that I am responsible for my provision of accurate information and the consequences of my actions. I acknowledge that Dunham & Associates Investment Counsel, Inc., Dunham Trust Company, its agents, affiliates, employees, or successors is not responsible for my actions, and I agree to indemnify and hold the custodian / trustee harmless from any liabilities are a result of my actions.

Purpose The Request to Transfer Assets Form is designed to assist in transferring assets from another financial institution into Dunham.

DO NOT use this form for transferring any account registered as an Individual Retirement Account (IRA). Please refer to the IRA Transfer of Assets Form.

If you have questions regarding how to complete this form, please call Client Services at 800-442-4358 for appropriate instructions.