

## **Instructions for How to Transfer Shares from Fidelity to another Broker/Intermediary Institution Account**

Participants who would like to transfer shares from their Fidelity Stock Plan Account to another brokerage or intermediary institution account outside or inside the United States may do so by following the instructions below. Please note that this process will take up to three weeks.

### **A FEW TERMS THAT WILL CLARIFY THE RESPONSIBLE PARTIES IN THIS TRANSACTION:**

1. Participant: The participant who owns the shares.
2. Contra Broker: The final receiving institution or brokerage firm where the participant would like the shares to be deposited.
3. Intermediary Institution (identified by a DTC number): The institution to which Fidelity will send the shares; this intermediary institution will then forward the shares to your account at the contra broker. Your contra broker has an existing business relationship with this intermediary institution, will decide which one to use, and has to share the required contact details with Fidelity.

### **STEP-BY-STEP PROCESS GUIDE:**

1. Contact your contra broker and indicate to them that you hold shares in a Fidelity Stock Plan Account that you would like to transfer to your account with this contra broker.
2. Work with your contra broker to complete the International Transfer Request Form (see attached).
  - a. Please provide the following additional details in the blank space at the bottom of the form: the contact details of your account manager with the contra broker (name, email, telephone number) and the proposed trade date and settlement date (which can be the same day).
  - b. Select a trade date and settlement date that is at least five (5) business days from the date you returned the form to Fidelity by **fax**. If returning by postal mail, please allow four (4) weeks for trade date and settlement date. This will allow enough time to process your request.
  - c. Have your contra broker complete the intermediary institution section.
3. Send the original signed form via fax, regular mail, or mail courier to the indicated fax number or address listed on the form. Please note that Fidelity must receive the form with the actual signature of the participant.
4. Once you have faxed or mailed the form, ask your contra broker to inform the intermediary institution about the origin and planned trade date and settlement date of the upcoming transfer so that they are ready to accept the shares once they are sent by Fidelity.

### **REMINDER:**

It is important that your contra broker contacts their intermediary institution up front to ensure that the intermediary institution accepts the shares on the specified transfer date. Your contra broker has the relationship with that intermediary institution, not Fidelity.

As a best practice, please have the contra broker work with the intermediary (DTC) to set the trade date and settlement date as the same day. This must then be noted on the attached form.

## SPS International Transfer Requests

### INSTRUCTIONS

This form can be utilized only for Stock Plan Services designated accounts to facilitate transactions when the standard transfer process (ACAT) is unavailable. Please review the criteria below to ensure successful completion of your request. Please enter all required information in English.

#### Transfer Requests:

Please indicate if it is a “full” or “partial” transfer. Transfer requests can be completed if they follow the guidelines below. **Cash cannot be sent by Transfer of Assets. Please use your established withdrawal preferences linked to your SPS account to initiate a wire/check. Call 800-544-0275 if you need assistance with a cash withdrawal.**

STOCK PLAN ACCOUNT TRANSFERS:

Participant to Participant: Same name

### PARTICIPANT INFORMATION:

Participant Name \_\_\_\_\_ Participant Number (e.g., i12-345678) \_\_\_\_\_ Participant Phone Number (incl. county code) \_\_\_\_\_

Participant Email Address \_\_\_\_\_

Your transfer will be processed per your instructions provided below.

### QUANTITY OF SHARES OR “ALL AVAILABLE”\*: (Cash cannot be transferred, refer to information above)

\_\_\_\_\_ Shares (enter # of shares to be transferred—whole shares only) \_\_\_\_\_ Stock Name, Symbol, or CUSIP Number \_\_\_\_\_

“All Available” (Whole shares only. Fractions are sold if all shares transfer.)

\*If your plan has restrictions on share transfers prior to satisfying a holding period, only shares that have met that holding period will be eligible for transfer. Holding periods may vary. Please consult your plan’s prospectus for further information on transfer restrictions.

If you would like to transfer specific shares please attach details.

Security or Fund Name	Symbol	Number of Shares from Tax Lot*	Date Acquired (MM/DD/YYYY)	Total Cost Basis per Share

\*Attach separate sheet if targeting more than three lots.

Trade Date\* (required) \_\_\_\_\_

Settlement Date\* (required) \_\_\_\_\_

\*Confirm Trade Date and Settlement Date with your Receiving Financial Institution to ensure timely share transfer. (Both dates might be the same; see suggested timeframes on page 1, Step-by-Step Process Guide, 2.b.)

Receiving Financial Institution (required) \_\_\_\_\_

Telephone Number of Receiving Financial Institution \_\_\_\_\_

Receiving Account Number at Receiving Financial Institution (required) \_\_\_\_\_

Registration Type of Account at Receiving Financial Institution (required) \_\_\_\_\_

Please enter all required information in English.

\_\_\_\_\_  
Contact at Receiving Financial Institution

\_\_\_\_\_  
Email Address

\_\_\_\_\_  
Full Name As It Appears at Financial Institution

**IMPORTANT**

Does your receiving broker require an upfront notification to be sent via email? (Please check and confirm with contra firm)  Yes  No

**If Yes:** Please provide email address for the contra broker \_\_\_\_\_

Which information is required? (mark which information is needed):

\_\_\_\_\_  
Number of shares to be transferred

\_\_\_\_\_  
ISIN—International Securities Identification Number

\_\_\_\_\_  
Name of the participant sending DTC

\_\_\_\_\_  
Trade/Settlement Date for delivery

**U.S. INTERMEDIARY INSTITUTION:** (Also required for transfers to a US account)

(Your broker will provide you with below required details, please contact your receiving broker)

\_\_\_\_\_  
Intermediary Institution Name

\_\_\_\_\_  
DTC Number (required)

\_\_\_\_\_  
Phone

\_\_\_\_\_  
U.S. Intermediary Account Number (check with receiving broker if this is needed)  
Fidelity will deliver the shares from: DTC 0226 (National Financial Services LLC)

**AUTHORIZATION AND SIGNATURES:**

I hereby acknowledge that I have contacted the receiving firm.

\_\_\_\_\_  
Participant Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

**RETURN ADDRESS:**

**Overnight**

Fidelity Stock Plan Services MZ KC1B-SPS  
100 Crosby Parkway  
Covington, KY 41015

**Regular Mail:**

Fidelity Stock Plan Services  
P.O. Box 770001  
Cincinnati, OH 45277-0043

Form may also be delivered via **Fax** to: TOA Deliveries 1-877-236-4162

Fidelity Stock Plan Services, LLC

537798.3.0 04/35420

1.904327.102

Please enter all required information in English.