

Transfer for nonretirement accounts checklist



For more information:
Putnam Investments
1-800-225-1581
www.putnam.com

Is a signature guarantee/medallion guarantee required?

- ☐ Will the transfer amount exceed \$100,000?
- ☐ Are there any new owners/trustees being added to the registration?
- ☐ Are there any living owners/trustees being removed from the registration?
- ☐ Will the assets be transferred to a registration with a different or additional owner/trustee?
- ☐ Is the transfer a re-registration of an UGMA/UTMA signed by the custodian when the minor has attained the age of 18 but has not reached the age of distribution in the applicable donor state?
- ☐ Is the request signed by anyone other than the registered account owner(s)? If so, the request must be **signed in capacity and accompanied by the appropriate certified legal document(s)***.

Important! If you answered yes to any of the questions above, a signature guarantee/medallion guarantee is required.

Are additional documents required?

- ☐ Is the transfer due to the death, resignation or incapacitation of an account owner, custodian, executor, administrator, or personal representative? If you answered yes, **additional documentation will be required***.
- ☐ Is the transfer due to the divorce of an account owner? If you answered yes, **additional documentation will be required*** unless each account owner's signature is separately signature guaranteed/medallion guaranteed on the Transfer request form for nonretirement accounts.
- ☐ Will the assets be transferred to a new trust account? If you answered yes, a certified copy of the trust must be provided; documents must include the first page, signature page, and the page naming the trustees and successor trustees.
- ☐ Has anyone involved in the request undergone a name change that will conflict with Putnam's current records? If you answered yes, the **Name change authorization form** and applicable requirements must be provided.
- ☐ Are you acting as an attorney-in-fact? If you answered yes, a power of attorney (POA) document is required (**original certification within 120 days**).
- ☐ Are you acting as a conservator or guardian? If you answered yes, a court order is required (**original certification within 120 days**).
- ☐ Is the transfer from a corporation, partnership, organization (including foundations and charities) or other entity? If you answered yes, a properly certified document (e.g. corporate resolution, bylaws extract, etc.) naming the current authorized signer(s) is required.
- ☐ Is the transfer a re-registration of an UGMA/UTMA to an individual account for the former minor when the former minor has reached the age of distribution in the applicable donor state? If you answered yes, the following documents are required:
 - A completed Putnam mutual fund account application, which must be **signed by the former minor** to acknowledge agreement to the terms of the prospectus and to certify their Social Security number;
 - The birth certificate of the former minor to show they have reached the age of distribution.

Additional notes

- Outstanding certificates must be replaced or returned before any outstanding shares can be transferred.
- If the request is signed by anyone other than the registered account owner, you must sign in capacity (e.g. Mary Smith POA for John Smith, Mary Smith Conservator for John Smith, etc.). Additional restrictions may apply.
- For trust accounts, when the registered trustee is incapacitated or when the current authorized trustee is not named in the account registration, a certified copy of the trust must be provided (**original certification within 120 days**); documents must include the first page, signature page, and the page naming the trustees and successor trustees. A power of attorney may not act on a trust account.

***Please contact Putnam Investments regarding additional restrictions, certification guidelines, documentation requirements, and outstanding certificate information.**

Transfer request form for nonretirement accounts

**Return by mail:**

Putnam Investments
PO Box 219697
Kansas City, MO 64121-9697

Return by express delivery:

Putnam Investments
801 Pennsylvania Ave
Suite 219697
Kansas City, MO 64105-1307

For more information:

Putnam Investments
1-800-225-1581
www.putnam.com



Complete this form to authorize a transfer of shares from an existing Putnam account(s) to a new or existing Putnam account(s) with a different registration. Any tax questions related to this transfer should be directed to your tax advisor. If you are using this form to authorize a transfer to an account with a new registration, please attach a completed Putnam mutual fund account application signed by all registered owners of the new account. If the transfer recipient(s) wishes to redeem shares at the time of the transfer, they must complete Putnam's Request for redemption from a nonretirement account form. To help ensure the request is in good order, please refer to the **Transfer for nonretirement accounts checklist**.

All references to the singular (i.e., "I" or "my") include the plural as applicable.

Section 1 Existing account owner information

Name of owner/custodian/trustee/entity	Social Security/Tax ID number (required)	Date of birth (mm/dd/yyyy)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Name of joint owner/minor/co-trustee/authorized party	Social Security number (required)	Date of birth (mm/dd/yyyy)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Contact phone number	<input type="text"/>	

Note: Providing a phone number above will replace the current contact information on file with Putnam (if applicable). If this field is left blank, no changes will be made.

Section 2 Reason for transfer

To ensure accurate cost basis reporting, select the type of transfer you are requesting and provide transfer details below. For inheritance and gift transfers, cost basis can only be adjusted when assets are transferred into accounts which utilize the average cost calculation method. If no option is selected and the transfer reason cannot be determined, Putnam will default to a gift transfer coding.

- ☐ **Re-registration:** Cost basis will not be adjusted. Re-registration transfers include transactions such as the addition of a joint tenant, removal of a custodian from an UGMA/UTMA registration once the minor has reached the age of distribution, divorce, and movement of assets to a trust account.
- ☐ **Inheritance:** Select this option if you have inherited shares from a nonretirement account. You must provide the date of death below. If no date of death is provided, your cost basis may not be accurately tracked.

Date of death (mm/dd/yyyy; required)

When the assets will be transferred from a trust account or a joint account and inheritance is selected, Putnam will adjust the cost basis using an inheritance coding for 100% of the assets transferred, unless a different percentage (1%-100%) is provided below:

- Adjust my cost basis using an inheritance coding for _____ % of the assets transferred from the joint or trust account(s) indicated in Section 3. Any remaining percentage will be coded as a re-registration. I have verified with a tax advisor that I am eligible to adjust my cost basis.

For all other non-retirement registrations, Putnam will use a transfer coding of inheritance and adjust your cost basis to the fair market value on the date of death unless you provide an alternate valuation date below.

- Alternate valuation date: This option is only available for estate assets. Federal estate tax law allows estate assets to be valued on an alternate date rather than the date of death. Please consult your tax advisor to determine the appropriate date to provide if you qualify for this option.

Alternate date (mm/dd/yyyy; optional)

- ☐ **Gift:** Please complete the information below for shares transferred as a gift. The date of gift will determine the fair market value of the gift. If the date of gift is not provided, the trade date of the transfer will be used as the date of gift. If fair market value acceptance is not provided, cost basis may not be accurately tracked for the gift recipient.

Gift recipient signature for Fair Market Value Acceptance

Date of gift (mm/dd/yyyy)

Print name of signature above

Section 3 Transfer from existing account registration instructions

Please list all accounts that you wish to transfer below along with the applicable dollar amount, share amount, or percentage allocation that should be transferred. If utilizing the Specific Lot Identification accounting method, please attach a separate sheet of paper and include each acquisition date and corresponding share or dollar amount to satisfy the requested transaction. Please consult your tax advisor with any questions as these transactions may have tax implications.

Fund number	Account number	Dollar amount	Share amount	Percentage
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Section 4 Transfer to account registration instructions

Funds will be transferred in kind based on the allocations in Section 3 unless otherwise indicated on this form, a separate letter of instruction, or a new account application. If different funds or allocations are indicated, an exchange will take place following the transfer. The exchange may be a taxable event. When transferring to multiple recipients, the total allocations in this section must equal 100%.

For Transfer on Death (TOD) accounts: Putnam will only carry over TOD beneficiary(ies) when one or more owners (not all) is being removed due to death or incapacitation (with appropriate certified legal documentation). Any other change in the registration (such as the addition of a new owner) will result in removal of current TOD beneficiary(ies). To establish a new TOD registration or to revoke the current beneficiary(ies) from an existing TOD registration, you must also complete a new Transfer on death designation form.

Transfer to a new Putnam registration. A Putnam mutual fund account application must be completed for each new registration. Please complete the fields below to match the account owner information from Section 1 of the Putnam mutual fund account application.

Name(s) of the new owner/custodian/trustee/entity	Percentage
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Transfer to an existing Putnam registration. Please complete the fields below to match the receiving Putnam account for each recipient.

Account number	Name(s) of registered owner(s)	Percentage
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Section 5 Account features

When transferring from an existing account, some account features (**checkwriting**, dividends, capital gains, systematic options, etc.) may not be eligible to automatically carry over to the new registration. Please contact Putnam to discuss your current account options and, if necessary, to obtain the appropriate paperwork to carry them over to the new registration.

Section 6 Authorization

I authorize the transfers indicated on this form. My signature below indicates that if I am designating an investment in a fund that I do not already own I have read the fund prospectus(es) and agree to the terms therein. Under penalties of perjury, I certify with my signature below that: (1) The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me) and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and (3) I am a U.S. citizen, a U.S. resident alien, or other U.S. person as defined in the instructions issued by the IRS. You must cross out item (2) above if you have been notified by the IRS that you are currently subject to backup withholding because of underreporting interest or dividends on your tax return.

For transfers resulting from a divorce or legal separation: The releasing/receiving account owner agrees to indemnify Putnam from all liabilities, losses, claims, demands, damages, costs, and expenses, including reasonable attorneys’ fees and expenses, arising from any authorized transfer allocations. Putnam shall be fully protected in relying on and proceeding in accordance with any direction or notice provided directly or indirectly by the releasing/receiving account owner, including but not limited to the dollar amount, share amount, and/or percentage of account assets to be transferred as provided in Section 3. Putnam has no duty or responsibility to determine the correctness of the transfer, any discrepancies between the DRO/divorce decree and this form, or if the DRO/divorce decree is qualified under Internal Revenue Code section 414(p), if applicable.

Putnam requires the signature guarantee/medallion guarantee if any of the scenarios below apply. A signature guarantee/medallion guarantee is a stamped assurance by a financial institution that indicates a signature is valid and has the financial backing of the institution.

- 1) the transfer amount exceeds \$100,000

2) any new owner(s)/trustee(s) are added to the registration

3) any living owner(s)/trustee(s) are removed from the registration

4) the assets will be transferred to a registration with a different or additional owner/trustee
- 5) the transfer is a re-registration of an UGMA/UTMA account signed by the custodian when the minor has not reached the age of distribution in the applicable donor state

6) the request is signed by anyone other than the registered account owner(s)
(must be signed in capacity and accompanied by the appropriate certified legal document(s) with original certification)

Signature of Owner/Custodian/Trustee/Authorized Signer

Print name of signature above

Current date (mm/dd/yyyy)

Signature of Joint Owner/Co-Trustee/Co-Authorized Signer

Print name of signature above

Current Date (mm/dd/yyyy)

PLACE SIGNATURE/MEDALLION GUARANTEE STAMP BELOW

THE GUARANTEE SHOULD NOT BE DATED

PLACE SIGNATURE/MEDALLION GUARANTEE STAMP BELOW

THE GUARANTEE SHOULD NOT BE DATED