

UTMA/UGMA Account Transfer Form



Use this form to re-register a Thornburg UTMA/UGMA account to the former minor once the minor has attained the age of majority in her or his state.
For additional information, please visit us at Thornburg.com, call us at 800-847-0200, or consult your financial advisor.

Mail: Thornburg, PO Box 219017, Kansas City, MO 64121

Overnight: Thornburg, 801 Pennsylvania Ave, Suite 219017, Kansas City, MO 64105

Phone 800.847.0200

Section 1: Current Account Information

Custodial name		Former minor name	
Account number		Former minor date of birth	
Address		Phone	
City	State	Zip	Alternate Phone
Email Address			

Section 2: Options

Please transfer UTMA/UGMA into a new account (see attached account application)

Please transfer UTMA/UGMA into an existing Thornburg account _____

Special instructions: _____

Section 3: Redemptions

Please complete this section if you wish to redeem shares once they have been re-registered. For this option, your signature(s) must be certified with an original Medallion Signature Guarantee stamp if the proceeds are being sent to a new address, banking instructions or a special payee.

Please redeem all shares from my account

Please redeem \$ _____ from fund _____

Please redeem \$ _____ from fund _____

Please redeem \$ _____ from fund _____

Section 3: Redemptions (continued)

Please send the redemption proceeds as follows:

- Please send check to address of record on new account
- Please send proceeds via wire to this bank account (or attach a voided check)

Name(s) on account	Account number	Routing number
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- Please send proceeds via ACH to this bank account (or attach a voided check):

Name(s) on account	Account number	Routing number
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- Please send check to this special payee: _____

If both former minor **AND** custodian are signing, both signatures must be notarized. Please complete **Section 4**.

If former minor aged 25 or older **OR** custodian is signing, the signature must be certified with an original Medallion Signature Guarantee stamp. Please complete **Section 5**.

If former minor ages 18–24 is signing, the signature must be certified with an original Medallion Signature Guarantee stamp. Please complete **Section 6**.

Section 4: Former Minor AND Custodian

Custodial signature

AND Former minor signature	Former minor date of birth
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Notary Acknowledgment

Please note you must attach a voided check or have your signature notarized in order to add banking information to an account. If you choose to attach a voided check, there will be a 15 day waiting period before we can redeem to new banking instructions.

State	County
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On this _____ day of _____, 20 _____, before me personally appeared _____, to me personally known to be the individual described herein and who executed the foregoing instrument, and acknowledged that he/she/they executed the same.

Notary Public signature and seal (if required by state)

Commission expiration date

Section 5: Former Minor Aged 25 or Older OR Custodian

Custodial signature

OR Former minor signature

Medallion Signature Guarantee

A Medallion Signature Guarantee may be executed by any eligible guarantor: Commercial Banks, Trust Companies, Registered Broker Dealers. A Notary Public is NOT an eligible guarantor.

Affix Guarantee Here

Section 6: Former Minor Ages 18–24

Certification/Signature

By signing below, I certify under penalties of perjury that:

- (a) I am the beneficial owner of the assets contained in the account(s) listed on this form;
- (b) I have attained the legal age required by the laws of the state under which the assets were gifted or transferred to me;
- (c) No designation was made by the donor that requires termination of custodianship for my assets be delayed until I reach a later age;
- (d) I have not already received equivalent gifts or transfers of money from the custodian that would reduce the value of the assets due to me in the custodial account(s);
- (e) I am not aware of any competing claims from the custodian or a successor custodian that would prevent me from receiving the assets in the custodial account(s);
- (f) The custodian or successor custodian has declined to release the assets to me as required by applicable state law;
- (g) I am a U.S. citizen, or resident alien, and (1) the Social Security or other taxpayer identification number (TIN) provided on this form is my correct TIN, and (2) I am not subject to backup withholding due to an IRS notification. (You must strike out the preceding clause if you have been notified by the IRS that you are currently subject to backup withholding.) (3) I am a U.S. citizen or U.S. resident alien.

I understand that if I do not supply a TIN or certify I am not subject to backup withholding will apply to my reportable dividends or interest and/or redemptions and my account may be closed. If I am not a U.S. citizen or resident alien, I understand that I must also supply a completed Form W-8BEN. I also understand that the Internal Revenue Service does not require my consent to any provision of this document other than the certifications required to avoid backup withholding.

This form must be completed and will be verified as required by the USA PATRIOT Act. Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that allows us to identify you. This information will be verified to ensure the identity of all individuals opening a mutual fund account.

Former minor signature

Date

Medallion Signature Guarantee

A Medallion Signature Guarantee may be executed by any eligible guarantor: Commercial Banks, Trust Companies, Registered Broker Dealers. A Notary Public is NOT an eligible guarantor.

Affix Guarantee Here