



Transfer-In Reconciliation Form for NEW & EXISTING Clients

This form is used to confirm the details of all securities being transferred into CFG new and existing client accounts and to reconcile against the original transfer-in documentation. It outlines how each security is expected to be received (cash or in kind) and ensures alignment between submitted transfer instructions and actual assets received.

Special Handling applies only for instructions related to capital gains management or DSC considerations.

Client and advisor information			
Client Name	<input type="text"/>		Advisor Name
Account Number	If Existing Client	Advisor Email	Advisor Phone
Account Type	<input type="text"/>		<input type="text"/>

If account moving ALL IN CASH or ALL IN KIND with no Special Handling Requirements Do Not Use Below.

Transferred-in securities *Please use additional form if more than 6 securities

#	Security Name	Ticker/Symbol	In Cash	In Kind	SPECIAL HANDLING
1	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
	If above security transferring in as Partial \$	or Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
	If above security transferring in as Partial \$	or Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
	If above security transferring in as Partial \$	or Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
	If above security transferring in as Partial \$	or Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
5	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
	If above security transferring in as Partial \$	or Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
6	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
	If above security transferring in as Partial \$	or Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

Advisor confirms that the instructions above accurately reflect how the transferred-in securities are to be handled.

Advisor Acknowledgment

Date