



# Online Depository Trust Company (DTC) Transfers

## Overview

Online Depository Trust Company (DTC) transfers enable stock plan participants with the capability to transfer assets from their stock plan account to other financial institutions on etrade.com. The process is streamlined and will allow you to enter the receiving financial institution name and account number, select the lots and/or quantity of shares to be transferred, and then submit your request. The online experience has been built to allow like-to-like transfers only (same name, same account type) and will allow the transfer of available, eligible shares only. This document will highlight the steps needed to make a DTC transfer. *Note: This guide is for U.S. and non-U.S. account holders.*

## Getting Started

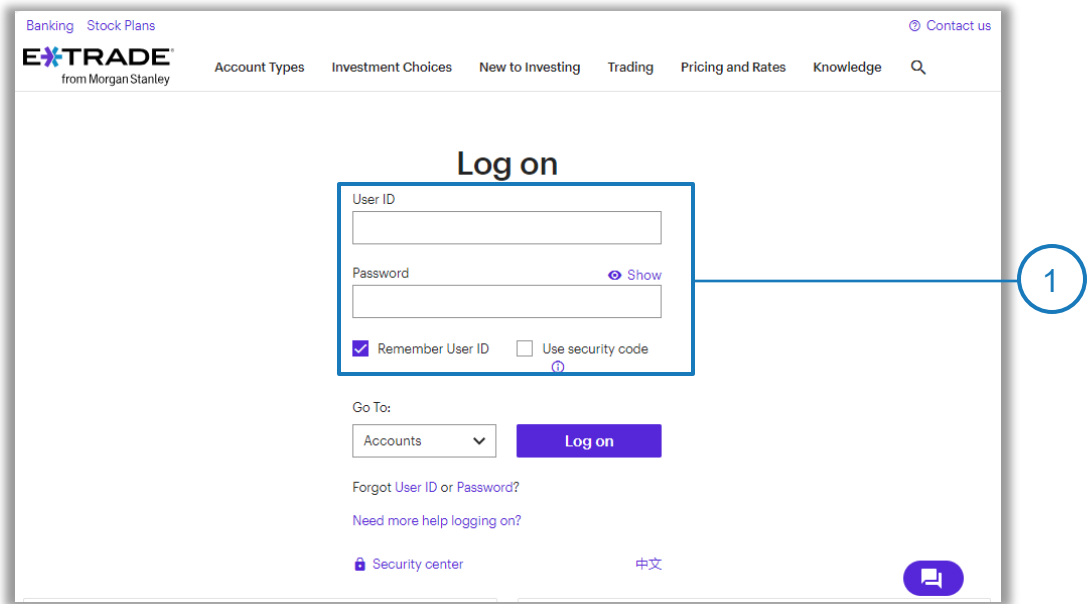
**Note: It's important that you refer to your company's Insider Trading Policy or share transfer rules prior to initiating a transfer of shares.**

In advance of your transfer request, and to help expedite the delivery timing to receive your shares, please contact your receiving brokerage firm and request the following information:

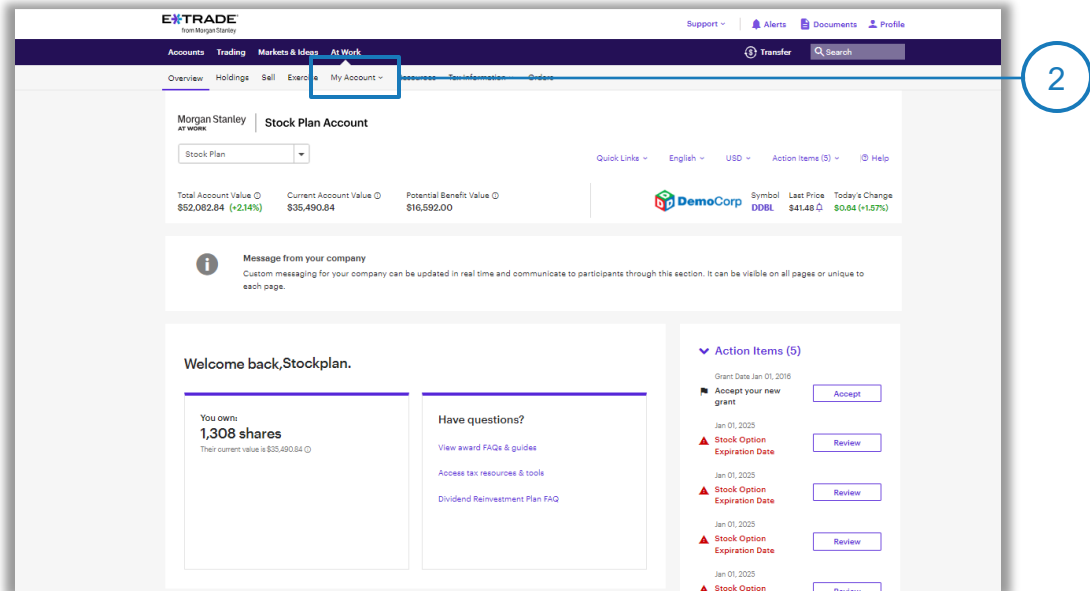
1. Receiving Brokerage Firm Name
2. Receiving Brokerage Firm Direct Depository Trust ("DTC" 4-digit number)
3. Receiving Account Owner Name
4. Receiving Brokerage Firm Account Number
5. Receiving Brokerage Account Type (e.g., Single, Joint, Trust)
6. Receiving Brokerage Firm Email Address

*Please note: Some non-U.S. firms use an intermediary clearing firm with a "house-account" number. Please include both the house-account and your personal account number, if applicable.*

1. Sign in with your user ID and password to etrade.com.

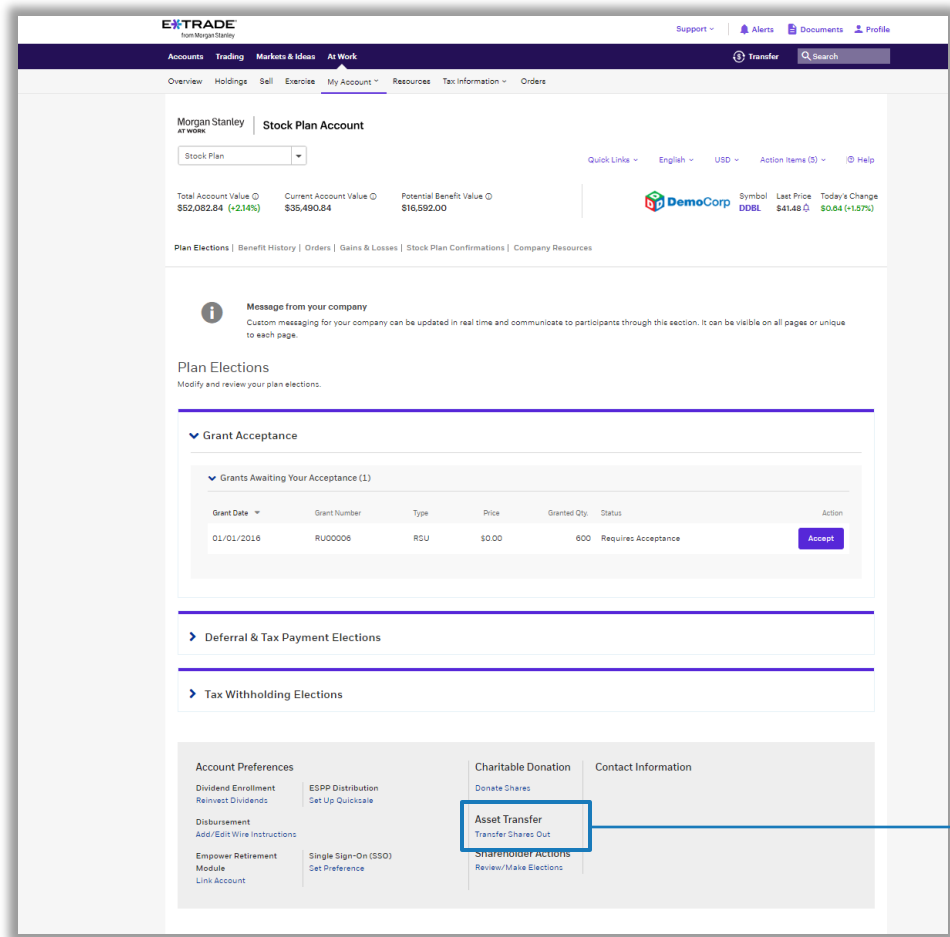


2. Click on At Work, then My Account.



3. Start Transfer

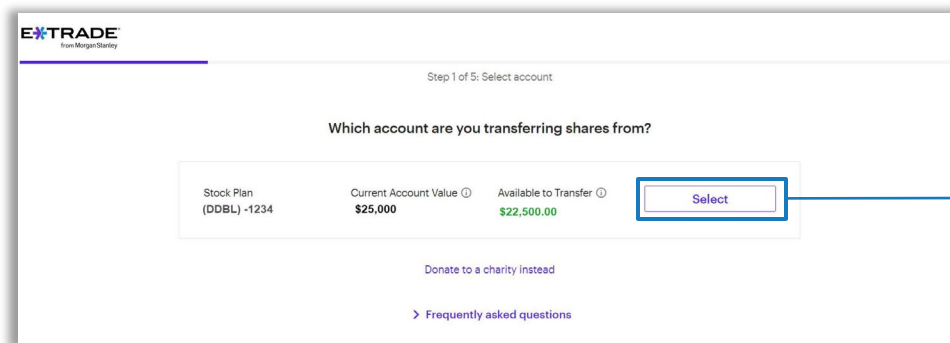
Click on **Transfer Shares Out** at the bottom of the My Account page.



4. Select account

Click **Select** next to the account you would like to transfer shares from.

If there are multiple eligible accounts, each eligible account will be shown. You can only select one at a time, provided there are shares available to transfer.



5. Select a financial institution

A list of saved accounts at financial institutions previously used for transfers will be displayed on Step 2 of the asset transfer process. You can either:

- a. Select from a saved account, then click **Continue**; or
- b. Add a new receiving account (see Step 5a).

Step 2 of 5: Select financial institution

Which financial institution are you transferring shares to?

The account at the financial institution you select must be a brokerage account registered in your name. For all other types of transfers, use a Stock Plan Transfer Request Form.

Saved accounts

DEMO FINANCIAL INSTITUTION (124567890)

Continue

Back

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5b

5a

5a. Add a financial institution

Begin typing the name of the financial institution, enter the receiving firm and account number, and click **Save**.

The financial institution is then added to your list of saved accounts.

Add financial institution

Receiving financial institution

TEST FINANCIAL INSTITUTION

Receiving account number

Name on receiving account

DTC number

Save

Cancel

Add financial institution

Receiving financial institution

TEST FINANCIAL INSTITUTION

Receiving account number

123456789

Name on receiving account

ABCD

DTC number

1234

Save

Cancel

5a

5b. Financial institution saved to saved accounts list

- a. Click the radio button next to the financial institution you would like to send shares to.
- b. Then, click **Continue**.

Step 2 of 5: Select financial institution

Which financial institution are you transferring shares to?

The account at the financial institution you select must be a brokerage account registered in your name. For all other types of transfers, use a [Stock Plan Transfer Request Form](#).

Saved accounts [Add new receiving account](#)

- ☐ DEMO FINANCIAL INSTITUTION (123456789) [Delete](#)
- ☐ TEST FINANCIAL INSTITUTION (123456789) [Delete](#)

**Continue**

[Back](#)

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6. Select shares to transfer

Choose a row or enter a quantity from the list of transferable shares. Multiple selections are possible.

Step 3 of 5: Select shares

Select shares to transfer

Stock Plan: DDBL -1234    Current Account Value: \$25,000    Available to Transfer (Shares): \$22,500.00

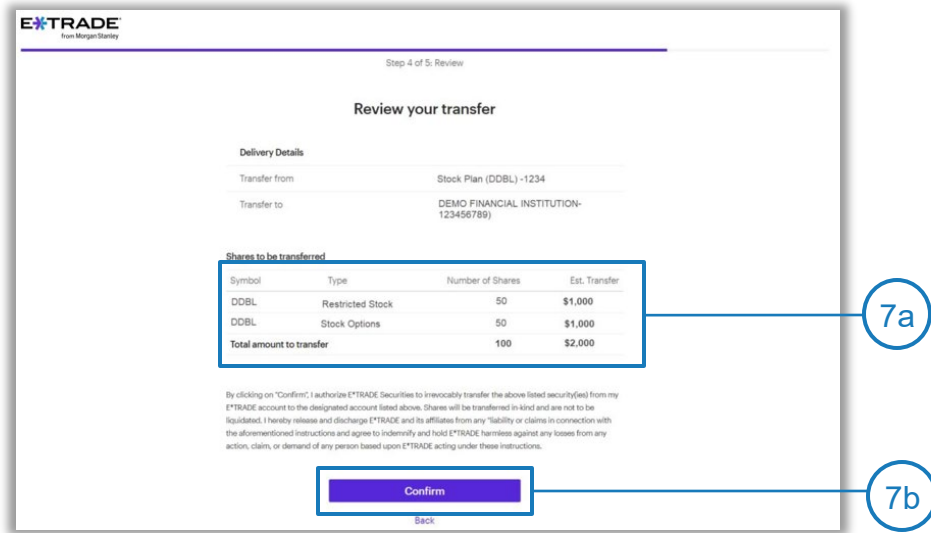
Transferable shares [View holding details](#)

You can transfer partial shares or lots, but your total transfer must add up to a whole number of shares.

<input type="checkbox"/>	Date Acquired	Symbol	Benefit Type	Transferable Qty.	Number of Shares to Transfer	Est. Transfer
<input type="checkbox"/>	04/01/2017	DDBL	ESPP	100	<input type="text"/>	
<input type="checkbox"/>	08/27/2019	DDBL	Restricted Stock	100	<input type="text"/>	
<input type="checkbox"/>	09/06/2019	DDBL	Stock Options	100	<input type="text"/>	

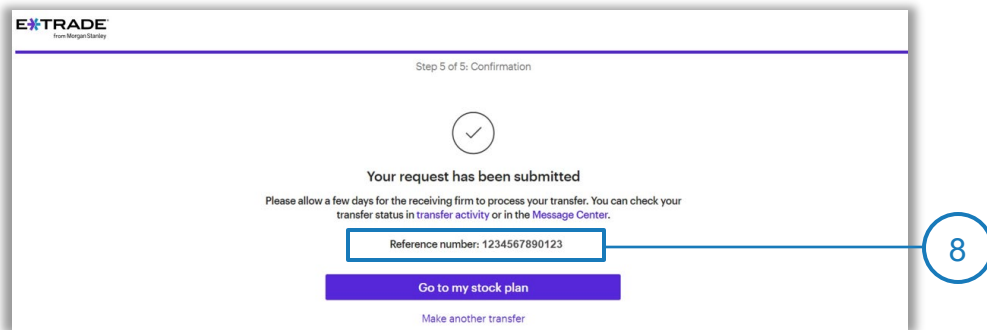
7. Review the transfer

- a. Review the transfer.
- b. If something needs to be revised, click **Cancel** or select **Confirm** to advance.



8. Confirmation

Note the reference number to track the progress of the transfer when reviewing your status in the Message Center and when receiving asset transfer alerts. You can also navigate to the Transfer Activity page to view the status of your transfer.



Please note: Transfer requests may take up to 10-15 business days (or longer) from initiation date. Processing times can also vary and may be shorter if your broker partners with a U.S. securities clearing firm.

## 9. Transfer Request Form

If you are unable to find your financial institution using the online transfer tool you can request a transfer by using the Stock Plan Transfer Request Form.

E\*TRADE

From Morgan Stanley

Step 2 of 5: Select financial institution

Which financial institution are you transferring shares to?

The account at the financial institution you select must be the brokerage account registered in your name. For all other types of transfers, use a [Stock Plan Transfer Request Form](#).

Saved accounts [Add new receiving account](#)


☐

 DEMO FINANCIAL INSTITUTION (124567890) [Delete](#)

Continue

Back

> Frequently asked questions



from Morgan Stanley

## STOCK PLAN TRANSFER FORM

E\*TRADE from Morgan Stanley  
P.O. Box 484  
Jersey City, NJ 07303-0484  
General Fax Number: 1-866-650-0003  
From Outside the US: +1-678-624-6950

Your Account Number

### IMPORTANT NOTE

*Please review these items prior to completing this form so that your request is received in good order and processed correctly.*

- All sections should be completed in their entirety unless otherwise noted
- This form can only be used to transfer to parties other than the Morgan Stanley Smith Barney LLC ("Morgan Stanley") account holder if section 4 is notarized or signed off by a Branch Manager
- Section 3B: Retail Shares – Retail Shares are not held in your Employee Stock Plan Account. Retail shares are only available for those customers that have activated a Retail account, also known as a Complete account, in connection with an Employee Stock Plan account
- This form cannot be used to process cash transfers, internal asset transfers, or charitable donations

### 1. ACCOUNT HOLDER INFORMATION

PRIMARY ACCOUNT HOLDER	CO-ACCOUNT HOLDER, IF APPLICABLE
Name	Name

### 2. TRANSFER INSTRUCTIONS (Please complete only one option)

**Option A : TO TRANSFER STOCK TO AN ACCOUNT WITH ANOTHER U.S. BROKERAGE FIRM, COMPLETE THIS SECTION**

Receiving Firm Name (required)	Receiving Firm DTC Number (4 digit number, required)
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## Have Questions?

Visit <https://us.etrade.com/contact-us> to contact us via phone (24 hours a day, weekdays) or by secure chat. From outside the US, visit [etrade.com/contact](https://etrade.com/contact) for your country's toll-free number or by secure chat.

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