



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

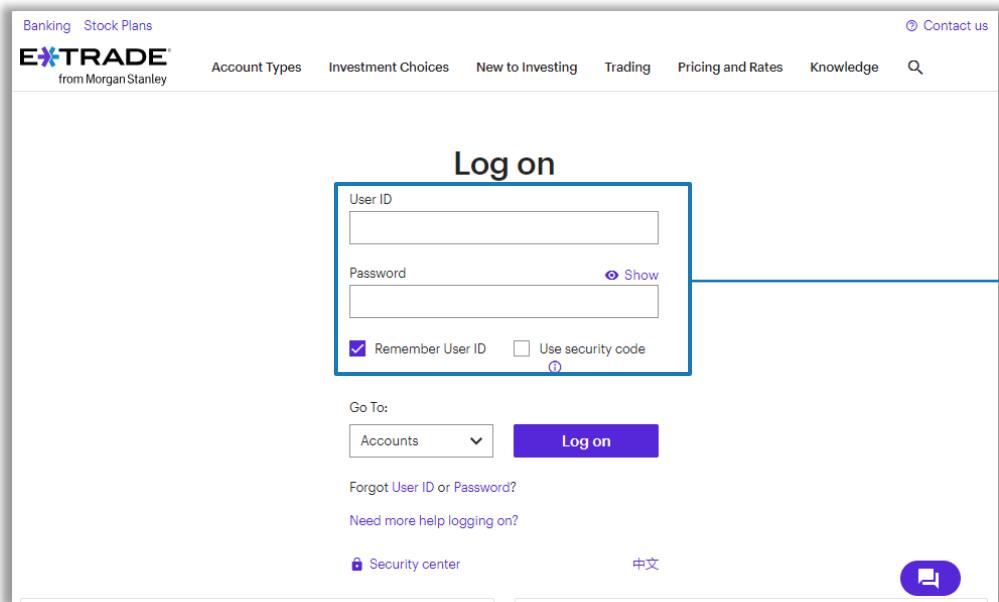
Note: It's important that you refer to your company's Insider Trading Policy or share transfer rules prior to initiating a transfer of shares.

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

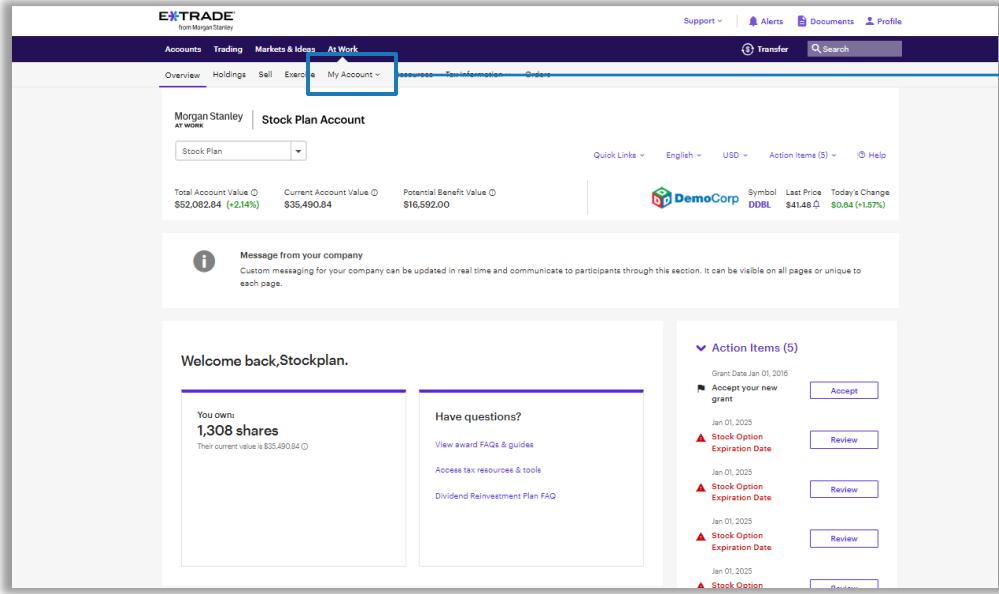
Please note: Some non-U.S. firms use an intermediary clearing firm with a "house-account" number. Please include both the house-account and your personal account number, if applicable.

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



The image shows the 'Log on' page of the e*TRADE website. At the top, there are links for 'Banking' and 'Stock Plans'. The e*TRADE logo is prominently displayed. Below the logo, there are tabs for 'Account Types', 'Investment Choices', 'New to Investing', 'Trading', 'Pricing and Rates', and 'Knowledge'. A search bar and a 'Contact us' link are also present. The main form is titled 'Log on' and contains fields for 'User ID' and 'Password', with a 'Remember User ID' checkbox and a 'Use security code' checkbox. Below the form, there is a 'Go To:' dropdown set to 'Accounts' and a 'Log on' button. At the bottom, there are links for 'Forgot User ID or Password?' and 'Need more help logging on?'. There are also links for 'Security center' and '中文' (Chinese). A blue circle with the number '1' is drawn around the 'Log on' button.

2. Click on At Work, then My Account.



The image shows the 'My Account' screen of the e*TRADE website. The top navigation bar includes 'At Work' (which is highlighted with a blue box and a blue circle with '2' over it), 'Accounts', 'Trading', 'Markets & Ideas', and 'Support'. Below the navigation, there are tabs for 'Overview', 'Holdings', 'Sell', 'Exercise', and 'My Account' (which is also highlighted with a blue box). The main content area shows a 'Stock Plan Account' for 'Morgan Stanley' with a 'Stock Plan' dropdown. It displays account values: Total Account Value (\$52,082.84 +2.14%), Current Account Value (\$35,490.84), and Potential Benefit Value (\$16,592.00). To the right, there is a 'DemoCorp' stock entry with symbol 'DDBL', last price '\$41.48', and today's change '\$0.64 (+1.57%)'. A message box says 'Welcome back, Stockplan.' and 'You own 1,308 shares'. A 'Have questions?' section links to award FAQs, tax resources, and dividend reinvestment plan information. On the right, there is a 'Action Items (5)' section with items for 'Accept your new grant', 'Stock Option Expiration Date', and 'Stock Option Expiration Date' (repeated). Each item has a 'Review' button. A blue circle with '2' is drawn over the 'At Work' tab.

3. Start Transfer

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

The screenshot shows the 'Stock Plan Account' page. At the top, there are tabs for Accounts, Trading, Markets & Ideas, and At Work. The At Work tab is selected. Below the tabs, there are sections for Overview, Holdings, Sell, Exercise, My Account (selected), Resources, Tax Information, and Orders. The 'My Account' section displays account values: Total Account Value (\$52,082.84 (-2.14%)), Current Account Value (\$35,490.84), and Potential Benefit Value (\$16,592.00). To the right, there is a 'DemoCorp' stock summary with symbol DDBL, last price \$41.48, and today's change +\$0.64 (+1.57%). Below the account summary, there is a 'Plan Elections' section with a message from the company. The 'Grant Acceptance' section shows a single grant awaiting acceptance. The 'Asset Transfer' link in the 'Charitable Donation' section is highlighted with a blue box and a circled '3'.

4. Select account

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

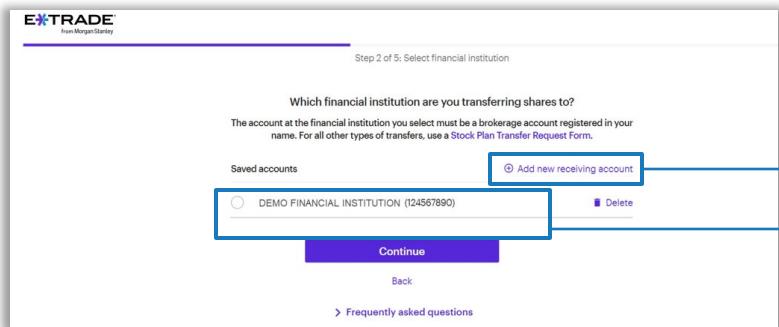
If there are multiple eligible accounts, each eligible account will be shown. You can only select one at a time, provided there are shares available to transfer.

The screenshot shows the 'Step 1 of 5: Select account' page. It asks 'Which account are you transferring shares from?'. It lists a single account: 'Stock Plan (DDBL) -1234' with a current account value of '\$25,000' and an available to transfer amount of '\$22,500.00'. A 'Select' button next to the account is highlighted with a blue box and a circled '4'.

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:

- Select from a saved account, then click **Continue**; or
- 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) [Add new receiving account](#) [Delete](#)

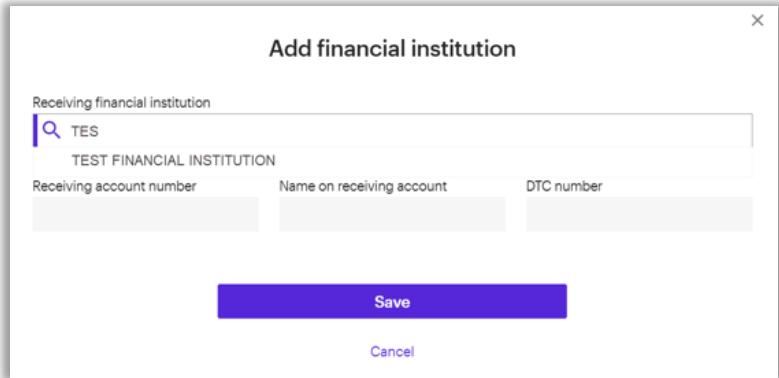
Continue [Back](#)

[Frequently asked questions](#)

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

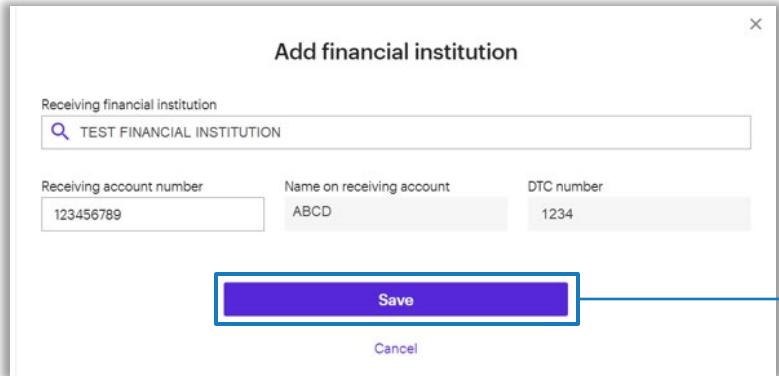
Receiving financial institution

TES

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 Name on receiving account DTC number

123456789 ABCD 1234

Save [Cancel](#)

5b. Financial institution saved to saved accounts list

- Click the radio button next to the financial institution you would like to send shares to.
- 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](#)

5a

5b

<input type="radio"/> DEMO FINANCIAL INSTITUTION (123456789)	Delete
<input type="radio"/> TEST FINANCIAL INSTITUTION (123456789)	Delete

Continue

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[Frequently asked questions](#)

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

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

View holding details

	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"/>	

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7. Review the transfer

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

Step 4 of 5: Review

Review your transfer

Delivery Details

Transfer from	Stock Plan (DBBL)-1234
Transfer to	DEMO FINANCIAL INSTITUTION-123456789

Shares to be transferred

Symbol	Type	Number of Shares	Est. Transfer
DBBL	Restricted Stock	50	\$1,000
DBBL	Stock Options	50	\$1,000
	Total amount to transfer	100	\$2,000

By clicking on "Confirm", I authorize e*TRADE Securities to irrevocably transfer the above listed security(es) from my e*TRADE account to the designated account listed above. Shares will be transferred in-kind and are not to be liquidated. I hereby release and discharge e*TRADE and its affiliates from any liability or claims in connection with the aforementioned instructions and agree to indemnify and hold e*TRADE harmless against any losses from any action, claim, or demand of any person based upon e*TRADE acting under these instructions.

Confirm

Back

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.

Step 5 of 5: Confirmation

✓

Your request has been submitted

Please allow a few days for the receiving firm to process your transfer. You can check your transfer status in [transfer activity](#) or in the [Message Center](#).

Reference number: 1234567890123

Go to my stock plan

[Make another transfer](#)

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 a brokerage account registered in your name. For all other types of transfers, use the [Stock Plan Transfer Request Form](#).

Saved accounts Add new receiving account

DEMO FINANCIAL INSTITUTION (124567890) Delete

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E*TRADE
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)

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 for your country's toll-free number or by secure chat.

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