

Securities Transfer Instructions – Please read carefully

1. How to request a securities transfer

- For **IN(COMING)** securities transfers: you can request the **simplified security transfer file** to our Support Team, fill it in and send it back via email;
- For **OUT(GOING)** securities transfers: the standard security transfer form can be downloaded from the website under the section security transfers. Only forms delivered via post with the original signature can be accepted. Copies, sent via email or using a different request format, and/or signed using an electronic signature will be rejected.

2. Requirements

For incoming transfers the service is usually offered in the presence of portfolios, whose aggregated value of all the positions reaches at least the minimum amount required published on the website. Information can be found on cornertrader.ch/Commissions.

3. Transferable securities

The securities transfers are offered for equities, bonds, ETFs and certain Mutual Funds. The instruments must be listed on the Exchanges offered by Cornèrtrader. However, the transferability of a security has to be verified with the custodians and can be rejected if, for example, the stock has a very low or no value or in case of delisting.

4. Outgoing securities transfer costs

While incoming securities transfers are free of charge, outgoing transfers are subject to a cost per position. Please refer to cornertrader.ch/Commission to verify the costs.

5. Estimation of the time required for the transfer

Depending on the counterparty process and the type of instrument, the securities transfer might generally require from 2 up to 4 weeks. However, this is an indicative timeframe and a specific deadline cannot be guaranteed. Equity transfers are very complicated processes involving different counterparties and many elements can fail, causing delays. In particular, in periods of high volumes of requests or in presence of transfers which have a higher degree of complexity (ex.: in delisting phase, presence of corporate actions, cross boarder transfers, realignments, slow response of the counterparty, incomplete data or settlement instructions), the process can last longer. If you wish to transfer the assets towards the end of the year, please get ready with sufficient time. In December, most of the counterparties accept transfers dated prior to the 15th of each year. Requests coming around and after this date are usually moved to the next business year.

6. No Change of Beneficial Ownership (NCBO)

Securities transfers can be executed only between accounts held by the same beneficial owner. Change of ownership can be authorised only under specific circumstances, such as inheritance.

7. Process initiation (transfer IN)

The simplified security transfer file is required only to initiate to process by Cornèrtrader. In order to allow us to take contact with the other counterparty, you must provide your bank with the same request.

Things to pay attention to for a successful securities transfer:

1. Are the instruments you want to transfer available on our platform?

The instruments to be transferred must be listed in one of exchanges Cornèrtrader offers. If you already have access to the platform, you can verify the availability of the instrument by searching with the ISIN number. In case you do not have access yet or you cannot find the instrument, please revert to your Relationship Manager, who will verify the acceptability for you. In order to get a fast reply, always indicate the ISIN number and the exchange of reference in your request, as the same instrument can be listed in multi exchanges.

2. Recommendation when you complete the form:

- **Counterparty email address:** indicate the direct email address and phone number of the person in charge of the transfer. In this respect, we suggest you to contact the counterparty and ask for the details of the referent person.
- **Full and correct Account numbers by Cornèrtrader and by the counterparty financial institution:** your account number in Cornèrtrader is the 6 digits number of your login (70XXXX).
- **Purchase price of the stock:** you can indicate either the original historical purchase price or the current market price. In case you do not provide a value, we will automatically set the current market price as the purchase price. Every requests to adjust the price will incur a delay and it will be subject to a cost of USD 10 per position, if the change is asked after the settlement of the equity.
- **Upcoming corporate actions:** if a certain corporate action occurs during the transfer time, the position will not be allowed to be settled until the corporate action is done and eligibility during the process is usually not possible.