



Incoming DTC Transfer FORM

Kindly use this form to fill out all necessary information for all DTC eligible securities, must include copy of the last statement (Not Applicable to Omnibus Transfers). Please send the completed form to global@cfi.trade

Delivering Broker Name

Delivering Broker DTC Number

Trade Date & Settle Date

Type of Delivery

☐ Gift

☐ Common Owner

☐ Death Distribution

☐ Omnibus Transfer

Cost Basis Information

Symbol / Cusip	Security Description	Share Quantity	Tax Lot	Trade Date*	Tax Lot Price*

Receiving Account Number	Receiving Account Number
FBO/Beneficiary Name	
Change in Beneficiary Ownership	☐ yes ☐ no
Receiving Account Number is an Inventory Account	☐ yes ☐ no

Client Name	Signature	Date

For Internal Use:

Registered Principle Name	Signature	Date

Margin Officer Name	Signature	Date

***Note: Please ensure the delivering broker references your account Name and Number when making the delivery otherwise it will be rejected. Proof of purchase may be required for some or all tax lots.**