Mutual Fund Transfer Restrictions

Certain mutual funds may not be transferable from an account at one brokerage firm to an account at other brokerage firms. A common factor limiting transferability is when a fund or its primary underwriter does not have a selling or other agreement in place with the receiving firm. If a particular fund family's funds are not transferable to a given firm, you may have the following options: leave the position in an account at the original brokerage firm; or have the position reregistered in your name on the books and records of the fund company or its transfer agent. As an alternative, you may liquidate the position and transfer the proceeds; if you choose to liquidate, you should consider whether you will incur sales charges and/or tax consequences. For further information regarding the transferability of a particular fund’s shares, please refer to the fund’s Prospectus and Statement of Additional Information, or call your advisor.

- It’s important to understand how certain fees and expenses will affect your investment and return. Learn more by reading Mutual Fund Share Classes and CGMI Compensation.
- Learn more about our revenue sharing arrangements.

INVESTMENT PRODUCTS: NOT FDIC INSURED · NO BANK GUARANTEE · MAY LOSE VALUE

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