



**OppenheimerFunds®**  
The Right Way  
to Invest

# Bulk (Block) Transfer Form

Authorization to Transfer Customer Accounts Between Broker-Dealers

## Instructions

Questions? Please call **800 CALL OPP (225 5677)**.

Use this form to change broker-dealer firms. This form is to be signed by a principal of the resigning brokerage firm and a principal of the accepting firm. This form can also be used to conduct a bulk transfer between representatives at the same firm.

This form can be submitted via fax to **303 768 1500** or mailed to:

### OppenheimerFunds Services

#### Regular Mail:

P.O. Box 5270  
Denver, CO 80217-5270

#### Overnight Mail:

6803 S. Tucson Way  
Centennial, CO 80112-3924

**Please print clearly in all CAPITAL LETTERS using black ink.**  
**All fields must be completed.**

### 1 | Outgoing financial advisor/broker-dealer

Rep ID number	First name	Middle initial	Last name
Firm number	Firm name		
Dealer branch address		Branch number	
City	State	Zip	
(      )			
Phone number	Email address		

### 2 | New financial advisor/broker-dealer

Rep ID number	First name	Middle initial	Last name
Firm number	Firm name		
Dealer branch address		Branch number	
City	State	Zip	
(      )			
Phone number	Email address		

### 3 | Bulk transfer

**Note:** This form must be signed by both a principal of the resigning firm and a principal of the accepting firm.

By signing below, both parties acknowledge that this transfer is in compliance with all applicable laws, rules and regulations regarding such transfers, including but not limited to FINRA Notice to Members 04-72 and Regulation S-P.

From: \_\_\_\_\_  
Existing Broker-Dealer firm

To: \_\_\_\_\_  
New Broker-Dealer firm

**X** \_\_\_\_\_  
Signature of Principal, resigning firm Date

\_\_\_\_\_  
Print name Title

**X** \_\_\_\_\_  
Signature of Principal, accepting firm Date

\_\_\_\_\_  
Print name Title