



**THE CAPITAL FINANCIAL GROUP**  
*...the independent's choice®*

**H. BECK, INC.**  
Member NASD, SIPC  
11140 Rockville Pike, 4<sup>th</sup> Floor  
Rockville, MD 20852-3144  
(301)468-0100 FAX (301)468-1114

## Individual Change of Dealer Procedures

### 1. Individual Account

- A. To transfer an individual client account please complete the H. Beck, Inc. *Change of Dealer Authorization-Individual Account* form. It is used to designate H. Beck, Inc. as the new broker/dealer on an account for an individual investment asset that is not held in, nor being transferred into, a brokerage account. The top portion of the *Change of Dealer Authorization* form is addressed to the holder of the asset (product sponsor). The rest of the form must be completed and the client must sign in the designated space.
- B. Send the completed form to the H. Beck Direct Business Department.

**NOTE:** Make sure to include a H. Beck New Account Form completed and signed by the client with current financial and suitability information.

**NOTE:** Make sure you are appointed for variable annuity business through H. Beck prior to submitting block transfers. Contact H. Beck Licensing Department for assistance.

**NOTE:** If a customer owns a proprietary fund at another broker/dealer, they cannot be transferred to H. Beck. They must be liquidated so the cash can come over, stay where they are, or be de-networked from that broker/dealer (which we do not handle).



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**CHANGE OF DEALER AUTHORIZATION  
INDIVIDUAL ACCOUNT**

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Fund Name and Address)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Product Type:

- Mutual Fund  Variable Annuity  Variable Life  Direct Placement  Investment Advisory

Attn: Broker Dealer Services

This will authorize you to change the broker and/or broker dealer information on the below listed account(s) as follows:

Account Number(s) \_\_\_\_\_

Account Registration \_\_\_\_\_  
\_\_\_\_\_

**Former** Broker Dealer \_\_\_\_\_

**Former** Reg. Rep. \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

(Printed Name) (Rep #) (Branch #)

**NEW REP** Karen A. Ibach CFP \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

(Printed Name) (Rep #) (Branch #)

**NEW Dealer Home Office Address**

**New Branch Office Address**

**H. Beck, Inc.**  
11140 Rockville Pike, Suite 400  
Rockville, MD 20852-3144

PO Box 937  
Prospect Heights, IL 60070  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
(Signature of Investor)

\_\_\_\_\_  
(Signature of Investor - if Joint Account)

\_\_\_\_\_  
(Printed Name)  
Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
(Printed Name)  
Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_