BNY Mellon | Pershing Transition Paperwork Instructions

As we prepare for the transition of your wealth account(s), one of the first steps is to open your accounts at BNY Mellon | Pershing. To do this, we are required to gather certain information and/or signatures from you and any other account holders on your account(s). The following instructions will help guide you through the paperwork you receive and what forms **may be** included.

Key Reminders

Your Relationship with Johnson Financial Group
Please know that your relationship with Johnson Financial Group will not change. You will continue to work with the advisors you know and trust.

Transition of Assets
Assets will not transition until July 2023. We will communicate more details around the actual transition in future communications.

Multiple Holders
If your wealth account(s) has/have multiple account holders, they will be required to complete the full set of paperwork just like you. We will provide the paperwork for the other holder(s) either in person, by overnight carrier or via email (DocuSign) if we have an email address on file.

Keeping Your Personal Information Secure
We take the security of your personal information very seriously. If you're completing the paperwork electronically through DocuSign, please know it's a secure environment and your personal information will be protected. The email with your transition paperwork will come from ***Johnson Financial Group via your advisor or a member of the Johnson Wealth team.***

Ready to Get Started?

Below are the steps to take when you are ready to complete and sign the paperwork. Note: there will be tips throughout the paperwork to help guide you.

1. On the next page you will find a list, including descriptions, of all the ***potential forms that may be included in your transition paperwork***.
2. Once you have completed all the information and signatures, please follow one of the steps below based on how you received your paperwork.
   a. If you reviewed and signed your paperwork in-person with your JFG advisor, you are all set. No additional steps are necessary.
   b. If you received your paperwork via DocuSign (electronically), ***click FINISH*** to submit your paperwork.
   c. If you received paperwork via **UPS or FedEx**, please return your completed paperwork ***using the enclosed pre-paid UPS or FedEx envelope***. You can return the envelope by either:
      i. Scheduling **UPS** to pick up the envelope by visiting the following website: https://wwwapps.ups.com/pickup/schedule?loc=en_US
      ii. Scheduling **FedEx** to pick up the envelope by visiting the following website: https://www.fedex.com/PickupApp/scheduleFreightPickup.do%3Fmethod%3DdoInit
      iii. Dropping off the envelope at any **UPS or FedEx** location or drop box.
3. If you are completing the paperwork electronically, you will receive a confirmation to the email address we have on file stating your paperwork has been submitted. Please feel free to download a copy of your signed paperwork for your files. If you completed the paperwork in person or by mail, please contact Wealth Operations at WCPT@johnsonfinancialgroup.com for a copy of the signed paperwork.

Transition Paperwork Inventory

Below is a list of potential forms that **may be included or need review** in your transition paperwork.
Note: Your particular situation may not require all of the forms listed below. If you have any questions, please contact your Johnson Financial Group advisor.

Form Name	Form Description	You Need To…
Terms and Conditions of Your Brokerage Custody Accounts	This is BNY Mellon | Pershing's Terms and Conditions as custodian of your account(s).	Review
Open an Account	This form establishes your new account at BNY Mellon | Pershing that JFG will use to manage your assets.	Sign
Traditional IRA Custodial Account Agreement	For use with IRA accounts, this form establishes an agreement between the client and BNY Mellon as the custodian.	Sign
Johnson Wealth Inc. Customer Relationship Summary	This form provides important information about Johnson Wealth Inc., including services, conflicts of interest, and fees. Johnson Wealth Inc. is a subsidiary of Johnson Financial Group and an SEC registered investment adviser.	Review
Investment Management Agreement	Establishes an agreement between the Client and Johnson Wealth Inc. Johnson Wealth Inc. is the primary legal entity through which JFG provides its wealth management services.	Sign
Brochure 2A Form ADV Part 2A	Provides information about the qualifications and business practices of Johnson Wealth Inc. ("Johnson Wealth"). This is a required SEC disclosure.	Review
Brochure Supplement Form ADV Part 2B	Provides information about the qualifications of those individuals responsible for the investment decision-making process at Johnson Wealth Inc. ("Johnson Wealth") and supplements the Johnson Wealth Brochure (Form ADV Part 2A)	Review
Notice Regarding the Privacy of Your Personal Information with Johnson Financial Group	Discloses how Johnson Financial Group collects, maintains, discloses, and disposes customer information.	Review
Miscellaneous Service Activity Fees	An outline of fees that could be assessed based on servicing needs and account activity.	Review
Fiduciary Acknowledgement and Disclosure	An outline of Johnson Banks's responsibilities as your fiduciary, specifically for retirement investors.	Review
Cash Management Mapping and Transfer Authorization	This form will be used to transfer your assets from SEI Private Trust Company, our current sub custodian, to BNY Mellon | Pershing.	Sign
ACH Authorization Agreement	This form enables the transfer of funds between your account at BNY Mellon | Pershing and your bank or credit union account via the Automated Clearing House (ACH) system.	Sign
IRA/ESA Distribution Request	This form is used to request a reportable distribution of assets from Traditional Individual Retirement Accounts (IRAs), SEP IRAs, Roth IRAs, SIMPLE IRAs, Inherited IRAs, Education Savings Accounts (ESAs), and Inherited ESAs. It is also used to validate the withholding amount provided.	Sign

Check Request	This form is used to request a check from your account, to authorize a third-party request, and/or establish standing or periodic instructions.	Sign
JFG Agreement to Substitution Security	This form is required to update the investment account held as collateral for a Johnson Bank loan.	Sign
Securities Account Control Agreement - 3rd Party Bank Custody **Securities Account Control Agreement - 3rd Party Brokerage Custody**	This form(s) is for clients that have secured a loan with their account(s) at BNY Mellon | Pershing.	Sign
Journal Request	This form can be used to request a movement of cash and/or securities between accounts.	Sign
Designation of Customized Beneficiary	This letter states the customized beneficiaries on your account.	Sign
Open an Account Additional Account Holder/ Participant Supplement	This form can be used as an Additional Account Holder Supplement when there are more than two account holders.	Sign
Alternative Investment Non-Retirement Account Network Form	This form allows BNY Mellon | Pershing to custody certain approved alternative investments held in your accounts.	Sign
iCapital Letter of Authorization	This form is required to update the custodian if you hold alternative investments through iCapital.	Sign
Owl Rock Capital Corporation II Transfer Form	This form is required to update the custodian if you hold an Owl Rock investment in your portfolio.	Sign
Know Your Customer Profile - Entity	This form is used to capture relevant source of wealth information for all Entity accounts.	Sign
Funds Transfer Agreement	This form is used to authorize third parties to make fund transfers in your account on your behalf.	Sign
Private Investment Form	This form is required to issue funds from your account when Capital Calls are required for certain alternative investments.	Sign

Questions or Technical Issues

If you have questions on the transition paperwork or technical issues with DocuSign, please contact our Wealth Operations Team at WCPT@johnsonfinancialgroup.com. You can also visit our client resource site to stay up to date on the latest transition information at www.JohnsonFinancialGroup.com/July2023. For technical issues with DocuSign, you may also reply directly to the DocuSign email and our Operations Team will contact you directly.

Accessing Your Account Information Online

You can log into our Wealth Management & Trust website to view your statements or account information anytime, anywhere. If you don't have access to the Wealth Management & Trust website, please contact your Johnson Financial Group advisor today. If needed, the full link to our website is: https://johnsonfinancialgroup.portal.tamaracinc.com/Login.

Thank you for your business and continued trust. We will continue to communicate over the coming months to ensure a smooth transition with as minimal disruption as possible.