

## 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 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 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://www.wapps.ups.com/pickup/schedule?loc=en\\_US](https://www.wapps.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](mailto:WCPT@johnsonfinancialgroup.com) for a copy of the signed paperwork.



## Your Transition Paperwork

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...
<b>Terms and Conditions of Your Brokerage Custody Accounts</b>	This is BNY Mellon   Pershing's Terms and Conditions as custodian of your account(s).	Review
<b>Open an Account</b>	This form establishes your new account at BNY Mellon   Pershing that JFG will use to manage your assets.	Sign
<b>Traditional IRA Custodial Account Agreement</b>	For use with IRA accounts, this form establishes an agreement between the client and Pershing Advisor Solutions as the custodian.	Sign
<b>Johnson Wealth Inc. Customer Relationship Summary</b>	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
<b>Investment Management Agreement</b>	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
<b>Brochure 2A Form ADV Part 2A</b>	Provides information about the qualifications and business practices of Johnson Wealth Inc. ("Johnson Wealth"). This is a required SEC disclosure.	Review
<b>Brochure Supplement Form ADV Part 2B</b>	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
<b>Notice Regarding the Privacy of Your Personal Information with Johnson Financial Group</b>	Discloses how Johnson Financial Group collects, maintains, discloses, and disposes customer information.	Review
<b>Miscellaneous Service Activity Fees</b>	An outline of fees that could be assessed based on servicing needs and account activity.	Review
<b>Fiduciary Acknowledgement and Disclosure</b>	An outline of Johnson Wealth Inc.'s responsibilities as your fiduciary, specifically for retirement investors.	Review
<b>Cash Management Mapping and Transfer Authorization</b>	This form will be used to transfer your assets from SEI Private Trust Company, our current sub custodian, to BNY Mellon   Pershing.	Sign
<b>ACH Authorization Agreement</b>	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
<b>IRA/ESA Distribution Request</b>	<p>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.</p> <p>It is also used to validate the withholding amount provided.</p>	Sign

<b>Check Request</b>	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
<b>JFG Agreement to Substitution Security</b>	This form is required to update the investment account held as collateral for a Johnson Bank loan.	Sign
<b>Securities Account Control Agreement - 3rd Party Brokerage Custody</b>	This form is for clients that have secured a loan with their account(s) at BNY Mellon   Pershing.	Sign
<b>Journal Request</b>	This form can be used to request a movement of cash and/or securities between accounts.	Sign
<b>Customized Beneficiary Letter of Authorization</b>	This letter states the customized beneficiaries on your account.	Sign
<b>Open an Account Additional Account Holder/ Participant Supplement</b>	This form can be used as an Additional Account Holder Supplement when there are more than two account holders.	Sign
<b>Alternative Investment Non-Retirement Account Network Form</b>	This form allows BNY Mellon   Pershing to custody certain approved alternative investments held in your accounts.	Sign
<b>iCapital Letter of Authorization</b>	This form is required to update the custodian if you hold alternative investments through iCapital.	Sign
<b>Owl Rock Capital Corporation II Transfer Form</b>	This form is required to update the custodian if you hold an Owl Rock investment in your portfolio.	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](mailto: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/sei-transition-July2023](http://www.JohnsonFinancialGroup.com/sei-transition-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](http://www.JohnsonFinancialGroup.com/WealthManagement&Trust) 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.