

Legacy Treasury Direct®

**SELL DIRECT® REQUEST**

Call us at 1-800-722-2678

[www.treasurydirect.gov](http://www.treasurydirect.gov)

**IMPORTANT:** Follow instructions in filling out this form. You should be aware that the making of any false, fictitious, or fraudulent claim or statement to the United States is a crime that is punishable by fine and/or imprisonment.

PRINT IN INK OR TYPE ALL INFORMATION

- This form will not be accepted if it has any alterations or corrections.
- Send the completed form to: FRB Chicago, Investment Division for *Sell Direct*, 230 South LaSalle Street, Chicago, IL 60604

**1. LEGACY TREASURY DIRECT ACCOUNT INFORMATION**

LEGACY TREASURY DIRECT ACCOUNT NUMBER: \_\_\_\_\_

ACCOUNT NAME: \_\_\_\_\_

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**2. SECURITIES IDENTIFICATION AND AMOUNT** (Check the box which applies and provide the information requested.)

**2.a.**  Check this box to transfer and sell **ALL** of the securities in the above Legacy Treasury Direct account. Skip Item 2.b. Go to Item 3.

**2.b.**  Check this box to transfer and sell one or more, but not all, of the securities, or a portion of one or more of the securities, in the above Legacy Treasury Direct account. Complete the following table, then go to Item 3.

**Note:** If you are not transferring all of your holdings for a CUSIP and it has sub-accounts, you must also list the specific sub-account to be transferred. This information is shown on your Legacy Treasury Direct *Statement of Account*.

CUSIP Number	Current Total Amount of the CUSIP	Amount of CUSIP I Am Requesting To Be Transferred/Sold	Is This a Sub-Account? Yes or No	If Yes, Provide the Sub-Account Number
_____	\$ _____	\$ _____	_____	_____
_____	\$ _____	\$ _____	_____	_____
_____	\$ _____	\$ _____	_____	_____
_____	\$ _____	\$ _____	_____	_____
_____	\$ _____	\$ _____	_____	_____
_____	\$ _____	\$ _____	_____	_____
_____	\$ _____	\$ _____	_____	_____
_____	\$ _____	\$ _____	_____	_____
_____	\$ _____	\$ _____	_____	_____
_____	\$ _____	\$ _____	_____	_____
_____	\$ _____	\$ _____	_____	_____

**3. TRANSFER AND SALE AUTHORIZATION**

I/We request the securities described above be transferred from my/our identified Legacy Treasury Direct account to the Federal Reserve Bank of Chicago (FRB Chicago). I/We also authorize FRB Chicago, as fiscal agent of the United States, to sell the above-identified securities and to charge a transaction fee for each security which will be deducted prior to depositing the settlement amount due me/us. I/We understand the funds will be credited by direct deposit to the account at the financial institution currently designated to receive my/our Legacy Treasury Direct payments. I/We understand FRB Chicago will make a reasonable effort to obtain a price quote from at least three (3) government securities dealers and will sell the securities to the dealer with the highest price quote for next day settlement. I/We agree to accept the price received by FRB Chicago from the dealer selected as having the highest price quote. I/We understand the Treasury Department and FRB Chicago will not be liable for changes in market conditions affecting the price received for the securities, or for any loss which I/we may incur as a result of the transaction or the inability of FRB Chicago to complete the transaction.

**4. SIGNATURES AND CERTIFICATION**

Under penalties of perjury, I/we certify that the information provided on this form is true, correct and complete. This request is submitted pursuant to the provisions of the Department of the Treasury Circulars, PD Series No. 2-86 (31 CFR Part 357) and 1-93 (31 CFR Part 356).

***You must wait until you are in the presence of a certifying officer to sign this form.  
If there are two owners joined by the word "and," both must sign.***

**Sign Here:** ⇒ \_\_\_\_\_  
(Signature) (Title, if appropriate)

**Address:** \_\_\_\_\_  
(Number and Street, Rural Route, or P.O. Box) (City) (State) (Daytime Telephone No.)

**Sign Here:** ⇒ \_\_\_\_\_  
(Signature) (Title, if appropriate)

**Address:** \_\_\_\_\_  
(Number and Street, Rural Route, or P.O. Box) (City) (State) (Daytime Telephone No.)

**Instructions to Certifying Individual:**

- 1. Name of person(s) who appeared and date of appearance **MUST** be completed.
- 2. Medallion stamps require an original signature.
- 3. Person(s) must sign in your presence.

I CERTIFY that \_\_\_\_\_, whose identity is known or was  
(Name of Person Who Appeared)  
proven to me, personally appeared before me this \_\_\_\_\_ day of \_\_\_\_\_  
(Month/Year)

at \_\_\_\_\_, and signed this form.  
(City/State)

(OFFICIAL STAMP  
OR SEAL)

\_\_\_\_\_  
(Signature and Title of Certifying Individual)

\_\_\_\_\_  
(Name of Financial Institution)

**ACCEPTABLE CERTIFICATIONS:**

Financial Institution's Official Seal or Stamp  
(such as Corporate Seal, Signature Guaranteed Stamp,  
or Medallion Stamp). **Brokers must  
use a Medallion Stamp.**

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(City/State/ZIP Code)

*(Notary certification is NOT acceptable.)*

\_\_\_\_\_  
(Telephone)

I CERTIFY that \_\_\_\_\_, whose identity is known or was  
(Name of Person Who Appeared)  
proven to me, personally appeared before me this \_\_\_\_\_ day of \_\_\_\_\_  
(Month/Year)

at \_\_\_\_\_, and signed this form.  
(City/State)

(OFFICIAL STAMP  
OR SEAL)

\_\_\_\_\_  
(Signature and Title of Certifying Officer)

\_\_\_\_\_  
(Name of Financial Institution)

**ACCEPTABLE CERTIFICATIONS:**

Financial Institution's Official Seal or Stamp  
(such as Corporate Seal, Signature Guaranteed Stamp,  
or Medallion Stamp). **Brokers must  
use a Medallion Stamp.**

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(City/State/ZIP Code)

*(Notary certification is NOT acceptable.)*

\_\_\_\_\_  
(Telephone)

FOR FRB CHICAGO USE ONLY				
Par	Issue	To	Price	
Date Traded	Time Traded	Trader	Settlement Date	
1	2	3	4	5

**INSTRUCTIONS**

**PURPOSE OF FORM** – Use this form to request the **transfer** of securities from a Legacy Treasury Direct® account to an account at FRB Chicago, and the subsequent **sale** of the same securities.

**IMPORTANT NOTICES**

- The Treasury Department and FRB Chicago will not be liable for changes in market conditions affecting the price received for the security, or for any loss that you may incur as a result of the transaction or the inability of FRB Chicago to complete the transaction.
- Only original signatures will be accepted (stamped signatures are not acceptable).
- If you are a corporation with a governing body, a resolution or a [PDF 1010](#) must accompany this form.
- If any person signing this form is acting in a fiduciary capacity, failure to provide legal evidence may delay processing.
- This form will not be accepted with alterations or corrections.

**COMPLETION OF FORM** – Print clearly in ink or type all information requested.

**ITEM 1. LEGACY TREASURY DIRECT ACCOUNT INFORMATION**

Provide your Legacy Treasury Direct account number. Your Legacy Treasury Direct account number is shown on your *Statement of Account*, immediately above the Account Holdings section. Provide the name(s) under which the account is registered; this is shown in the address block of your *Statement of Account*.

**ITEM 2. SECURITIES IDENTIFICATION AND AMOUNT**

Check the box that applies. If checking Box 2.b., also provide the information requested. All required information is listed on your Legacy Treasury Direct *Statement of Account*.

- Check Box 2.a. to transfer and sell **ALL** of the securities in your Legacy Treasury Direct account.
- Check Box 2.b. to transfer and sell one or more, but not all, of the securities, or a portion of one or more of the securities, in your Legacy Treasury Direct account. Complete the table as indicated below:
  - **CUSIP Number** – Insert the number (i.e., 912798XXX) that identifies the securities to be transferred and sold (located under the heading "SECURITY" on your *Statement of Account*).
  - **Current Total Amount of the CUSIP** – Insert the total dollar amount (at par) of the CUSIP that is in your Legacy Treasury Direct account.
  - **Amount of CUSIP I Am Requesting To Be Transferred/Sold** – Insert the total dollar amount (at par) of the CUSIP you are requesting to be transferred and sold (in \$100 increments).
  - **Is This a Sub-Account? Yes or No** – Insert "Yes" if the amount you are wanting to transfer and sell is a security (or portion of a security) being held in a sub-account, or "No" if the amount you are wanting to transfer and sell is a security (or portion of a security) not being held in a sub-account.
  - **If Yes, Provide the Sub-Account Number** – Insert the sub-account number, if applicable.

**NOTE: The amount to be transferred and sold and the amount remaining in the CUSIP must satisfy both the minimum and multiple holding requirements for the security.**

If you list a matured CUSIP number that has been reinvested or is within 10 days of reinvestment, FRB Chicago will transfer and sell the current or the new CUSIP number and indicated dollar amount.

### ITEM 3. TRANSFER AND SALE AUTHORIZATION

Please carefully read this section before signing the form, as the section describes the nature of the transaction authorized.

You are transferring the identified securities to FRB Chicago for the sole purpose of having the securities sold. You are authorizing the identified securities, once transferred, to be sold by FRB Chicago. A transaction fee will be charged (see "**FEES**" below for further information). Because FRB Chicago enters into an agreement to sell the securities on the same day they are received, the authorization for the sale and transfer of the securities becomes irrevocable when the transfer from your Legacy Treasury Direct account to the account of FRB Chicago is made. FRB Chicago will make a reasonable effort to obtain a price quote from at least three (3) government securities dealers and will sell the securities to the dealer with the highest price quote for next day settlement. You agree to accept the price received by FRB Chicago from the dealer selected as having the highest price quote. On the next full business day after the trade date, the settlement amount will be released electronically by FRB Chicago to the account at the financial institution currently designated to receive your Legacy Treasury Direct payments. The Treasury Department and FRB Chicago will not be liable for changes in market conditions affecting the price received for the securities or for any loss which you may incur as a result of the transaction or the inability of FRB Chicago to complete the transaction.

In the event FRB Chicago is unable to obtain at least one quote for the securities, the securities will be returned to your Legacy Treasury Direct account on the next full business day following the receipt of the securities by FRB Chicago, and FRB Chicago will notify you. No transaction fee will be charged.

### ITEM 4. SIGNATURES AND CERTIFICATION

**SIGNATURES** – The owner named on the Legacy Treasury Direct® account, his/her authorized representative, or the person entitled to the account must sign the form in ink, and provide his/her title (if applicable), home address, and daytime telephone number. ***If there are two owners joined by the word "and," both must sign this form.*** The signature(s) to this form must be certified.

**CERTIFICATION** – Certification of your signature is required. Acceptable certifying individuals include authorized employees of insured depository institutions and corporate central credit unions. For a complete list of such officers, see Department of the Treasury Circular No. 300, 31 CFR Part 306. Brokers must use a medallion stamp. Certification date and address of financial institution or broker are required. **Please note: Certification by a notary public is NOT acceptable.**

**Sample** certification for a financial Institution:

SIGNATURE GUARANTEED  
ABC National Bank  
Hillview Branch

\_\_\_\_\_  
Authorized Signature

**Acceptable** certification for a brokerage:

SIGNATURE GUARANTEED  
MEDALLION GUARANTEED  
Generic Brokerage

\_\_\_\_\_  
Authorized Signature  
XXXXXXXX

SECURITIES TRANSFER AGENTS MEDALLION PROGRAM  
[Bar Code]

**FEES** – A transaction fee for the service will be charged for **each** security sold on your behalf. (A security is considered as any amount [within a Legacy Treasury Direct account] that is identified by a separate CUSIP number.) FRB Chicago will deduct the fee prior to depositing the settlement amount (also referred to as "net amount") to the account at the financial institution currently designated to receive your Legacy Treasury Direct payments. The amount of the fee is published by notice in the Federal Register. Call Legacy Treasury Direct for the current fee (see "**CONTACT**" below).

**SETTLEMENT AMOUNT** – The settlement amount (also referred to as "net amount") minus the transaction fee will be credited by direct deposit (electronic funds transfer) to the account at the financial institution currently designated to receive your Legacy Treasury Direct payments.

**WHERE TO SEND** – Send the completed form to:

**FRB Chicago**  
**Investment Division for *Sell Direct***  
**230 South LaSalle Street**  
**Chicago, IL 60604**

**The form must be received at least ten (10) days in advance of:**

- the maturity date of the security to ensure processing, and
- an interest payment date for the security to ensure processing prior to that date.

**CONTACT** – Call us toll-free in the United States at 1-800-722-2678. Outside the U.S.? Call us at 304-480-6464.

**CONFIRMATION OF TRANSFER AND CONFIRMATION OF SALE** – You will receive a Legacy Treasury Direct *Statement of Account* after your securities have been transferred, reflecting the change in the par amount being held in the identified Legacy Treasury Direct account.

You will receive a confirmation of the sale from FRB Chicago upon completion of the transaction. The confirmation will include the price, trade date, settlement date, settlement amount (also referred to as "net amount"), transaction fee, and yield to maturity. Trade date is the day FRB Chicago enters into an agreement with a dealer for the sale of the securities. Settlement date is the date the settlement amount is released to the account at the financial institution designated to receive your Legacy Treasury Direct payments. Price is the dollar amount paid for a security expressed as a percent of its current par amount.

**NOTICE UNDER PRIVACY ACT AND PAPERWORK REDUCTION ACT**

The collection of the information you are requested to provide on this form is authorized by 31 U.S.C. CH. 31 relating to the public debt of the United States. The furnishing of a Social Security Number, if requested, is also required by Section 6109 of the Internal Revenue Code (26 U.S.C. 6109).

The purpose of requesting the information is to enable the Bureau of the Public Debt and its agents to issue securities, process transactions, make payments, identify owners and their accounts, and provide reports to the Internal Revenue Service. Furnishing the information is voluntary; however, without the information Public Debt may be unable to process transactions.

Information concerning securities holdings and transactions is considered confidential under Treasury regulations (31 CFR, Part 323) and the Privacy Act. This information may be disclosed to a law enforcement agency for investigation purposes; courts and counsel for litigation purposes; others entitled to distribution or payment; agents and contractors to administer the public debt; agencies or entities for debt collection or to obtain current addresses for payment; agencies through approved computer matches; Congressional offices in response to an inquiry by the individual to whom the record pertains; as otherwise authorized by law or regulation.

We estimate it will take you about 10 minutes to complete this form. However, you are not required to provide information requested unless a valid OMB control number is displayed on the form. Any comments or suggestions regarding this form should be sent to the Bureau of the Public Debt, Forms Management Officer, Parkersburg, WV 26106-1328. **Do NOT send a completed PD F 5179-1 to this address; send it to the address shown in "WHERE TO SEND."**