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# Instructions for **IRA Rollover Form**

Please use this form to affect an IRA rollover from a qualified retirement plan or another Individual Retirement Account (IRA) held outside of Interactive Brokers LLC (IB LLC), when a trustee to trustee transfer does not apply.

#### **ROLLOVER ELIGIBILITY**

Generally, a rollover is a tax-free distribution to you of cash or other assets from one retirement plan that you contribute to another retirement plan. The contribution to the second retirement plan is called a "rollover contribution." Almost any distribution from a qualified plan can be rolled over to an IRA (exceptions include: mandatory distributions, distributions on amounts that exceeded limits, non-spousal death benefit distributions and hardship withdrawals). For more information, review the Rollover Eligibility Certification Form or IRS Pub. 590.

This information is for general educational purposes only. Individuals should consult their financial advisor or legal counsel to determine how rollover regulations affect their unique situation.

#### INSTRUCTIONS

#### Section # 1 IRA Account Information

• Provide both your account information & account type at IB LLC and the current Trustee/Custodian account to be rolled over.

#### Section # 2 Transfer Instructions

- For a transfer of all available funds within the account, check ( $\checkmark$ ) the box next to **Full Cash Transfer**.
- For a specific cash amount, check ( $\checkmark$ ) the box and enter a dollar amount.
- If liquidating assets for a fund transfer, then check ( $\checkmark$ ) the request and enter the asset details.

• IB LLC only accepts cash transfers for rollover deposits. *Note:* We recommend that you consult a professional advisor and/or the current trustee/custodian before liquidating assets. Some investments may be subject to a penalty, sales charge, fee, trailing commission, or other expenses upon sale.

#### Section # 3 Required Minimum Distributions

Please read.

#### Section # 4 IRA Rollover Certification

• Check ( $\checkmark$ ) the box next to **IRA Rollover** to confirm your understanding. Additionally, complete, sign, date, and return the **IRA Rollover Certification** Form.

#### Section # 5 Authorization & Signature

Print & sign your name. Enter the current date.

#### Section # 6 Notary Signature & Seal (Required)

• Obtain a notary public signature & seal.

#### Section # 7 Medallion Signature Guarantee (Optional)

• Contact the current IRA Trustee/Custodian to determine if they require a separate Medallion Signature Guarantee. If so, a local bank/broker may offer the service. *Note: Some firms will not release funds without the guarantee.* 

#### Section # 8 Interactive Brokers LLC Acceptance

• For office use only.

#### Section # 9 Delivery Instructions

Instructions for your current IRA Custodian/Trustee to send funds.

Form Delivery	Check* Delivery *Include customer name on the check & a copy of the transfer form.	
Print and mail the completed form directly to:	Mail <b>all IRA checks</b> by regular or overnight mail to:	
Your Current IRA Trustee/Custodian.	Interactive Brokers LLC Attn: Cashiering Department - IRA	
Note: Do not send this form to IB LLC.	2 Pickwick Plaza Greenwich, CT 06831	



### **IRA Rollover Form**

Complete this form to roll over assets from a 401(k), IRA, or other retirement plan into an Interactive Brokers LLC (IB LLC) as the IRA custodian.

**General Instructions: Print and mail** this form to <u>your current trustee or custodian</u>. **Deliver all checks\* to:** Interactive Brokers LLC, Attn: Cashiering Dept. - IRA • 2 Pickwick Plaza • Greenwich, CT 06831. **ACATS:** If your investment and delivering firm is ACATS eligible, initiate your transfer from the Position Transfers page in Account Management.

1. IRA Account Information • Complete & return this form to your current Trustee/Custodian	
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Interactive Brokers Account Information		Current Trustee/Custodian Information				
Please print or type			Please print or type	Please print or type		
IB Account Number		Account Number	1 /1			
IRA Owner's Name		IRA Owner's Name	IRA Owner's Name			
Social Security Nu	umber		Firm Name	Firm Name		
		Firm Address				
			City/State	Zip Code		
			Contact Phone			
Interactive Brokers Account Type		Current Trustee/Custodian Account Type Choose one				
Traditional IF Roth IRA Inherited Trad		Rollover IRA   SEP IRA   Inherited Roth	Traditional IRA Roth IRA SIMPLE IRA	[e.g. 401(k	lified Ret. Plan (s), 403(b), 457 Plan, (SP Plan, Money Plan]	
entire cash balanc	e to Interacti	stee Transfer Authoriza ve Brokers as successor Cust sfer assets in-kind or re-register sh	todian of the above reference	•		
Transfer Cash O	nly - Check o	nly one (specify amount if requ	ired).			
Check One						
Ful	Full Cash Transfer					
Ful	Full Cash Transfer & Liquidate all assets <sup>1</sup> . • Liquidate all of the assets and transfer the entire proceeds.					
	Partial Cash Transfer of \$ • Liquidate <sup>1</sup> the assets listed below and transfer the specified cash amount.					
Investments - Lis	st the ticker syn	nbol, name, and quantity of the	assets for liquidation.			
Acct. #	Security Name Symbol Shares or %			Shares or %		

Acct. #	Security Name	Symbol	Shares or %
Acct. #	Security Name	Symbol	Shares or %
Acct. #	Security Name	Symbol	Shares or %
Acct. #	Security Name	Symbol	Shares or %
Acct. #	Security Name	Symbol	Shares or %
Acct. #	Security Name	Symbol	Shares or %

<sup>1</sup> IB LLC is not responsible for market fluctuation or fees with written liquidation requests. Consult your tax or investment advisor to determine the suitability, risk factors, and tax liabilities of your investment objectives. Some investments may be subject to a penalty, sales charge, fee, trailing commission, or other expenses upon sale.



#### 3. Required Minimum Distribution • Please read.

Required Minimum Distribution "RMD": The IRS rules require that when you reach age 701/2, you must begin taking a payment from your retirement account(s) each year. If you do not receive your RMD payment before the deadline, the IRS may penalize you up to 50 percent of the amount of your required distribution. The amount of your RMD is recalculated each year. For additional information, contact your local IRS office or visit www.IRS.gov. We recommend that you consult your professional tax advisor or legal counsel for assistance in determining your RMD.

4. IRA Rollover Certification			
IRA Rollover	I certify that: (1) The information provided by me is true and accurate. (2) I am responsible for determining that this IRA rollover qualifies under the current IRS rules and agree to comply with those rules. (3) I assume responsibility for any consequences that may result from this IRA rollover and I agree that the custodian is not responsible for any consequences that may arise from executing this IRA rollover. (4) The IRA rollover does not include any required minimum distribution, hardship distribution, corrective distribution, or deemed distribution from an employer's qualified retirement plan. (5) I understand the irrevocable designation of this transaction as an IRA rollover.		

#### 5. Authorization & Signature • Your signature is required to authorize this transfer request.

To current trustee/custodian: Please transfer the assets in my account, as identified above pursuant to the timeframes established by NYSE rule 412 or similar rule of the FINRA. I authorize you to liquidate any nontransferable proprietary money market investment and transfer the proceeds to Interactive Brokers LLC, my new custodian. I authorize you to deduct any fees due to affect this transfer. If my account does not have enough cash to cover any and all fees, I authorize you to liquidate the assets in my account to the extent necessary to satisfy all fees.

Print Name:

IRA Owner Signature:

Date:

#### 6. Notary Signature & Seal

On this\_ day of \_, 20\_\_\_ \_\_\_\_, the person who signed, who is known to or was identified by me, personally appeared and acknowledged to me that he or she signed this form. In witness thereof, I have signed below on this date.

[ NOTARY SEAL ]

My commission expires:

7. Medallion Signature Guarantee (If required by resigning firm)

**MEDALLION SIGNATURE GUARANTEE** 

Signature of Notary

Jurisdiction

#### 8. Interactive Brokers LLC Acceptance • For office use only.

Interactive Brokers LLC (IB LLC) hereby accepts the appointment as successor custodian for the above referenced account.

Kawone L. Harris Manager, IRA Services - Client Services

INTERACTIVE BROKERS AUTHORIZED SIGNATURE

IB LLC Tax ID#: Contact Phone:

New York, NY, 10017, United States

NAME

Contact:	Contact Phone:		IB LLC Tax ID#:
Client Services	Toll free 1 (877) 442-2757 or	Direct dial 1 (312) 542-6901	13-3863700
9. Delivery Instructions • Send cash by check or fed wire transfer. IB LLC cannot accept stock certificates.			
USD Checks IRA check deposits are subject to our credit hold policy. USD Fed Fund Wires			
Make all checks* payable to Interactive Brokers LLC as follows:		Wire funds as follows:	
Interactive Brokers LLC		SWIFT BIC Code: CHASUS33XXX	
2 Pickwick Plaza		ABA Number: 021000021	
Greenwich, CT 06831		Bank Account Name: Interactive Brokers LLC	
Attn: Cashiering Department - IRA		Bank Account Number: 633736902 For further benefit to: IB Account Number / Client's Name	
*Include the IRA owner name on the check and a copy of this form with the check.		By order of: Account Title at Sending Institution	
*Include the account title at the sending institution in the memo field.		Bank address: JPMorgan Chase B	ank, N.A., 383 Madison Avenue

## **Interactive Brokers**

### **IRA Rollover Certification**

**Upload the completed form through the Secure Message Center, Attn: IRA Services.** Or, mail the form to Interactive Brokers LLC • Attn: IRA Services • 209 South LaSalle Street, 10th Floor • Chicago, IL 60604.

IB Account #:	IRA Type:	Contribution Amount:

**Certification** • Please select the appropriate choice. Certify your eligibility for the IRA rollover transaction and understanding of the rollover rules and conditions.

#### A. Traditional IRA or SIMPLE IRA to Traditional IRA Rollover

1. It has been less than 60 days since I received the funds or property being deposited.

2. I did not receive any other distributions from the distributing IRA during the preceding 12 months which I also rolled over.

3. The assets involved in this rollover have not been rolled over in the past 12 months.

4. If over  $70 \ 1/2$ , I have satisfied my required minimum distribution for the year.

5. SIMPLE IRA only - it has been at least (2) years since I first began participating in a SIMPLE IRA plan sponsored by my employer.

#### B. Roth IRA to Roth IRA Rollover

1. It has been less than 60 days since the funds or property being deposited.

2. I did not receive any other distributions from the distributing IRA during the preceding 12 months which you also rolled over.

3. The assets involved in this rollover have not been rolled over in the past 12 months.

#### C. Rollover or Direct Rollover from Qualified Plan into a Traditional IRA

1. I am an eligible participant (participant, spouse beneficiary, or former spouse due to divorce).

2. It has been less than 60 days since I received the funds or property being deposited.

3. I received these funds from an eligible qualified retirement plan.

4. If over 70 1/2, I have satisfied my required minimum distribution for the year.

5. The rollover consists only of funds or property distributed from the qualified plan, or #6.

6. The proceeds from the sale of property distributed from the qualified plan, or #5.

7. All of the funds included are eligible to be rolled over

#### D. Traditional IRA to Roth IRA Rollover (indirect conversion)

1. It has been less than 60 days since I received the funds or property being deposited. 2. If over  $70 \ 1/2$ , I have satisfied my required minimum distribution for the year.

#### Signature and Date + Please read.

I am familiar with and understand the rollover rules and conditions. I certify that I met the requirements for making a rollover contribution. Due to the important tax consequences of rolling over funds or property to an IRA, I understand that IB LLC cannot and has not provided tax advice. I release, indemnify and hold IB LLC harmless against any liabilities I may incur as a result of this transaction. By signing this agreement, I understand that I have irrevocably designated this contribution as a rollover contribution.

Signature • Please sign and date.			
Print Name:	Date:		
IRA Owner Signature:			

#### Retain a copy of this for your records.

IRS Circular 230 Notice: These statements are provided for information purposes only, are not intended to constitute tax advice which may be relied upon to avoid penalties under any federal, state, local or other tax statutes or regulations, and do not resolve any tax issues in your favor.