Interactive Brokers

Instructions for
IRA Transfer-In Request Form

Please use this form to affect a transfer of funds from an existing Individual Retirement Account (IRA) held outside of Interactive Brokers LLC at a non-ACATS participating firm. Funds must be received directly from the other firm.

Trustee-to-Trustee Transfer

A transfer of funds in your IRA from one trustee/custodian directly to another, either at your request or at the trustee/custodian's request, is a trustee to trustee transfer.

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 Interactive Brokers LLC (IB LLC) and the current Trustee/Custodian account.
- You can transfer funds between any two eligible IRA type accounts (e.g., a Roth IRA to Roth IRA, SEP IRA to SEP IRA). ***Note:*** *For a rollover of funds, please use the IRA Rollover Form.*

Section # 2 Transfer Instructions

- For a transfer of all available funds within the account, check (✓) the box next to **Full Cash Transfer**.
- For a specific cash amount, check (✓) the box and enter a dollar amount.
- If liquidating assets for a fund transfer, then check (✓) the request and enter the asset details.
- IB LLC only accepts cash transfers. ***Note:*** *We recommend that you consult a professional advisor and/or your current custodian/broker 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 Distribution

- Please read the RMD information in Section #3.

Section # 4 IRA Transfer Certification

- Check (✓) the box next to **Trustee to Trustee Transfer** to confirm your request and your understanding of the conditions that must be met in order to qualify for a trustee to trustee transfer.

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 your 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 Trustee/Custodian to send funds.

Form Delivery	Wire Transfer Delivery
Print and mail the completed form directly to: Your Current IRA Trustee/Custodian. ***Note:*** *Do not send this form to IB LLC.*	Mail **all IRA checks** by regular or overnight mail to: Interactive Brokers LLC Attn: Cashiering Department - IRA 2 Pickwick Plaza Greenwich, CT 06831

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IRA Transfer-In Request Form

Complete this form to transfer existing IRA funds with a non-ACATS eligible firm to an IRA account with Interactive Brokers LLC (IB LLC)

General Instructions: Print and mail this form to your current trustee or custodian. **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 an ACATS participant, initiate your transfer from the Position Transfers page in Account Management.

1. IRA Account Information • Complete & return this form to your current Trustee/Custodian.

Interactive Brokers Information

Please print or type

IB Account Number
IRA Owner's Name
Social Security Number

Current Trustee/Custodian Information

Please print or type

Account Number	
IRA Owner's Name	
Firm Name	
Firm Address	
City/State	**Zip Code**
Contact Phone	

Interactive Brokers Account Type*

Choose one

☐ Traditional IRA	☐ Rollover IRA
☐ Roth IRA	☐ SEP IRA
☐ Inherited Trad./Rollover	☐ Inherited Roth

Current Trustee/Custodian Account Type*

Choose one

☐ Traditional IRA	☐ Rollover IRA
☐ Roth IRA	☐ SEP IRA
☐ Inherited Trad./Rollover	☐ Inherited Roth

* *The IRA account types must match exactly for most direct transfers. Check with your current trustee/custodian before using this form. Some custodians may require use of an IRA Rollover form.*

2. Current Custodian/Trustee Transfer Authorization • Please accept this form as your authority to transfer the cash balance to Interactive Brokers as successor Custodian of the above referenced retirement account, unless otherwise indicated. Do not transfer assets in-kind or re-register shares to Interactive Brokers.

Transfer Cash Only - Check only one (specify amount if required).

Check One

- ☐ **Full Cash Transfer** ◆ Deliver the entire cash balance.
- ☐ **Full Cash Transfer & Liquidate all assets**[1]**.** ◆ Liquidate all of the assets and transfer the entire proceeds.
- ☐ **Partial Cash Transfer of $_________________.** ◆ Liquidate[1] the assets listed below and transfer the specified cash amount.

Investments - List the ticker symbol, name, and quantity of the assets for liquidation.

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 %

[1] *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.*

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3. Required Minimum Distribution ◆ Please read.

Required Minimum Distribution "RMD": The IRS rules require that when you reach age 70 ½, you must begin taking a payment from your retirement account(s) each year. If you do not receive your RMD payment before the IRS mandated 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 based on your estimated life expectancy and account balance. 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 Transfer Certification ◆ Read & check the box to certify your transfer.

☐ **Trustee to Trustee Transfer**

I certify that: (1) The funds or property being deposited at my request will not be a distribution to me, but a tax free transfer not subject to the 1-year waiting period that applies to rollovers. **(2)** The funds or property are eligible for direct transfer between Traditional or Roth IRAs (or between SEP-IRA or, after two years of participation, a SIMPLE IRA and a Traditional IRA). **(3)** The transfer is not a rollover of funds from an IRA or qualified retirement plan re-deposited into another IRA. **(4)** The transfer is not from a Traditional, SEP, or SIMPLE IRA to a Roth IRA subject to tax. **(5)** I understand the irrevocable designation of this transaction as a trustee-to-trustee IRA transfer.

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 my new trustee/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:

____
Signature of Notary

____
Jurisdiction

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

MEDALLION SIGNATURE GUARANTEE

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

INTERACTIVE BROKERS AUTHORIZED SIGNATURE

Kawone L. Harris Manager, IRA Services - Client Services

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 fed wire transfers or check. *IB LLC cannot accept stock certificates.*

USD Checks *IRA check deposits are subject to our credit hold policy.*

Make **all checks*** **<u>payable to Interactive Brokers LLC</u>** as follows:

Interactive Brokers LLC
2 Pickwick Plaza
Greenwich, CT 06831
Attn: Cashiering Department - IRA

**Include the IRA owner name on the check and a copy of this form with the check.*
**Include the account title at the sending institution in the memo field.*

USD Fed Fund Wires

Wire funds as follows:

SWIFT BIC Code: CHASUS33XXX
ABA Number: 021000021
Bank Account Name: Interactive Brokers LLC
Bank Account Number: 633736902
For further benefit to: IB Account Number / Client's Name
By order of: Account Title at Sending Institution
Bank address: JPMorgan Chase Bank, N.A., 383 Madison Avenue
New York, NY, 10017, United States