

IRA Transfer/Rollover Form

Complete this form to request Transfer/Rollover of your IRA or Qualified Plan to Interactive Brokers

IMPORTANT GUIDELINES

- **USE** this form to Transfer or Rollover existing IRA or retirement plan cash to an Interactive Brokers IRA.
 - ✓ **Transfer** moves retirement assets between the same IRA types (e.g. Traditional to Traditional, Roth to Roth, etc.).
 - ✓ **Rollover** moves retirement assets between different plan types (401k to Rollover IRA, Traditional to Roth, etc.)

**If you wish to liquidate assets, then you must contact your financial institution prior to sending this form.*
- **SEND** your signed and completed form to your current retirement plan custodian/trustee.
 - ✓ Check with your current custodian for their additional requirements, such as a notary or medallion stamp.
 - ✓ Attach a copy of your most recent activity statement with this form.

IMPORTANT NOTE: If the other custodian transfers assets via the Automated Customer Account Transfer Service (ACATS), then use the ACATS transfer option in Client Portal to start your transfer.

1 Interactive Brokers Account Information

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Your Account Number Your US Tax I.D. Your Name

Account Type *(Check one)*

Traditional IRA

Roth IRA

SEP IRA

Other _____

Transfer Type *(Check one)*

Transfer — Direct transfer from one IRA to another IRA.

Rollover — Transfer from your retirement plan directly to your IRA.

**Check here if you are a Death Beneficiary _____*

2 Delivering Account Information

Current Firm Name

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Name of current Custodian, Employer, Plan Sponsor, or Insurance Carrier Phone Number

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Street Address

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City State Zip Code

Account Information

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Account Number Account Title

Account Type *(Check one)*

Traditional IRA

SEP IRA

Beneficiary IRA

Qualified Plan

Roth IRA

SIMPLE IRA

Beneficiary Roth IRA

Other _____

3 Transfer Instructions to Current Custodian

Please TRANSFER the specified cash balance. *(Check one)*

Full CASH – Deliver the entire cash balance.

Partial CASH Transfer of \$ _____ **–** Deliver the specified cash amount.

Please DELIVER cash by fed wire transfer or check. *IB LLC cannot accept stock certificates. (Check one)*

USD Fed Fund Wire	USD Checks <i>IRA checks are subject to our credit hold policy</i>
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	Please make all checks payable to Interactive Brokers LLC FBO <u>(Account Holder's Name)</u> and mail to Attn: 15 E. Putnam Ave #403, Greenwich, CT, 06830, United States. <i>*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.</i>

4 Owner Authorization & Signature

Please accept this form as your authority to transfer the CASH balance as identified above pursuant to the timeframes established by NYSE rule 412 or similar rule of the FINRA. I authorize you to transfer the cash to my retirement account established at Interactive Brokers LLC as successor custodian. 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 all fees, I authorize you to liquidate the assets in my account to the extent necessary to satisfy all fees. Do not transfer assets in-kind or re-register shares to Interactive Brokers.

I understand that I am responsible for determining the eligibility of this transfer under the IRS rules and assume responsibility for any consequence. I agree that the trustee or custodian is not responsible for any consequence that may arise from executing this transfer.

Required Minimum Distribution "RMD": I understand that the IRS rules require annual withdrawals starting with the year that he or she reaches 72 (70 1/2 if you reach 70 1/2 before January 1, 2020), if later, the year in which he or she retires. If my RMD payment is not received before the IRS mandated deadline, the IRS may penalize up to 50 percent of the amount of the required distribution. The RMD amount is recalculated each year based on my estimated life expectancy and account balance. For additional information, I may contact the local IRS office or visit www.irs.gov or consult a professional tax advisor or legal counsel for assistance.

X	
Signature	Date

SIGNATURE GUARANTEE OR MEDALLION GUARANTEE
(If required by resigning custodian only)

Check with your current custodian before signing. A signature guarantee or medallion guarantee stamp may be required by some custodians. Participating institutions, such as banks, broker-dealer, credit unions, and trust companies, may provide a guarantee of your signature.

Letter of Acceptance

Interactive Brokers LLC (IB LLC) hereby accepts the transfer or rollover as the successor custodian for the above referenced IRA account type selected in Section 1. This acceptance only extends to the transfer of cash only.

Authorized Signatory – Interactive Brokers LLC

Lanetta R. Phillips, Manager IRA Services