

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

**General Instructions:** Print and mail this form to your current trustee or custodian. **ACATS:** If your investment and delivering firm is an ACATS participant, initiate your transfer from the transfer positions page in Client Portal.

## 1. IRA Account Information

**Interactive Brokers Account Information** Please print or type

IB LLC Account Number
IRA Owner's Name
Social Security Number

**Resigning 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

<input type="checkbox"/> Traditional IRA	<input type="checkbox"/> Rollover IRA
<input type="checkbox"/> Roth IRA	<input type="checkbox"/> SEP IRA
<input type="checkbox"/> SIMPLE IRA	

**Resigning Trustee/Custodian Account Type** Choose one

<input type="checkbox"/> Traditional IRA	<input type="checkbox"/> Qualified Ret. Plan <i>[e.g. 401(k), 403(b), 457 Plan, Pension/PSP Plan, Money Purchase Plan]</i>
<input type="checkbox"/> Roth IRA	
<input type="checkbox"/> SIMPLE IRA	
<input type="checkbox"/> SEP IRA	

## 2. Current Custodian/ Rollover Transfer Instructions • Please accept this form as your authority to transfer the cash balance and/or securities to Interactive Brokers as successor Custodian of the above referenced retirement account. **Only complete the portion(s) applicable to your transfer.**

### Transfer Instructions

Cash Transfer \$ \_\_\_\_\_ .

**US Securities** - Limited securities include US Stocks, US Warrants or US Bonds only. Only WHOLE SHARE amounts for long US securities are eligible (no fractional or short shares). List the security name, symbol/CUSIP and quantity.

Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity
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Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity

**3. IRA Rollover Certification** • Read & check the box to certify this rollover.

**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.

**4. Required Minimum Distribution** ♦ Please read.

**Required Minimum Distribution "RMD":** "I understand that the IRS rules requires annual withdrawals at a particular age. If my RMD payment is not received before the IRS mandated deadline, the IRS may penalize a percentage of the required distribution. The RMD amount is recalculated each year based on my estimated life expectancy and year end account balance. For additional information, I may contact the IRS directly, visit [www.IRS.gov](http://www.IRS.gov) or consult a professional tax advisor."

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

Print Name:	Account Owner Signature:	Date:
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**6. Notary Signature & Seal (If required by your current custodian)**

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: \_\_\_\_\_

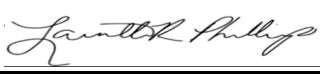
\_\_\_\_\_  
Signature of Notary                      Jurisdiction

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

MEDALLION SIGNATURE  
GUARANTEE

**8. Interactive Brokers LLC Acceptance**

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

Interactive Brokers Authorized Signature 		Interactive Brokers LLC Tax ID#: 13-3863700
Name: Lanetta R. Phillips Manager, IRA Services-Client Services	Contact: IRA Services Department	Contact Phone: 877-442-2757

**9A. Delivery Instructions for Cash** • Send cash by bank wire transfers or check.

<p><b>USD Checks</b> <i>IRA check deposits are subject to our credit hold policy.</i> Make all checks* payable to <b>Interactive Brokers LLC</b> as follows: Interactive Brokers LLC FBO &lt;Client Name&gt; 15 E Putnam Ave #3180 Greenwich, CT 06830 Attn: Cashiering Department - IRA <i>Please reference client's IB LLC account number on the memo line.</i></p>	<p><b>USD Bank Wires</b> 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 Bank address: JPMorgan Chase Bank, N.A., 383 Madison Avenue New York, NY, 10017, United States</p>
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**9B. Delivery Instructions for Positions**

**DTC Participant ID**    0534

**Beneficiary Account**    Please reference the IB Account Number

**PSET**                      DTCYUS33XXX

*Please note IB LLC does not accept stock certificates*