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) IRA

General Instructions: Print and mail this form to <u>your current trustee or custodian</u>. **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

- ☐ Traditional IRA
- ☐ Roth IRA
- ☐ SIMPLE IRA
- ☐ Rollover IRA
- ☐ SEP IRA

Resigning Trustee/Custodian Account Type

Choose one

- ☐ Traditional IRA
- ☐ Roth IRA
- ☐ SIMPLE IRA
- ☐ SEP IRA
- ☐ Qualified Ret. Plan *[e.g. 401(k), 403(b), 457 Plan, Pension/PSP Plan, Money Purchase Plan]*

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

InteractiveBrokers

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 or consult a professional tax advisor."

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

Print Name:	Account Owner Signature:	Date:

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.

USD Checks *IRA check deposits are subject to our credit hold policy.*
Make **all checks*** **payable to Interactive Brokers LLC** as follows:

Interactive Brokers LLC FBO <Client Name>
15 E Putnam Ave #3180
Greenwich, CT 06830
Attn: Cashiering Department - IRA
Please reference client's IB LLC account number on the memo line.

USD Bank 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
Bank address: JPMorgan Chase Bank, N.A.,
383 Madison Avenue
New York, NY, 10017, United States

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