

Instructions for IRA Transfer-In Request Form

Please use this form to effect 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 directly to another, either at your request or at the trustee's request, is not a rollover. Because there is no distribution to you, the transfer is tax free. Because it is not a rollover, it is not affected by the 1-year waiting period required between rollovers.

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 resigning Trustee/Custodian account.
- You can transfer funds between any two regular IRAs (Traditional, Direct Rollover, Roth, and SEP) and two Inherited IRAs. **Note:** For transfers of funds to/from a Roth IRA and other IRA account types, 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 **All Cash**.
- For a specific cash amount, check (✓) the box next to \$____ and enter a dollar amount.
- If liquidating assets for a fund transfer, then check (✓) the request and enter the asset's details.
- IB LLC only accepts fund transfers for rollover deposits. **Note:** We recommend that you consult a professional advisor and/or the resigning 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 Note to IRA Owner

- Please read.

Section # 4 IRA Transfer Certification

- Check (✓) the box next to **Trustee to Trustee Transfer** to confirm your understanding.

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 resigning IRA custodian to determine if they require a separate Medallion Signature Guarantee. If so, a local bank or brokerage firm may offer the service. **Note:** Some firms will not release funds without the guarantee.

Section # 8 Equity Trust Company Acceptance

- For office use only.

Section # 9 Delivery Instructions

- Instructions for your current IRA custodian to send funds.

Form Submission

Send the completed and signed form by regular or overnight mail to:

Interactive Brokers LLC
Attn: Retirement Accounts, Transfers
209 South LaSalle Street, 10th Floor
Chicago, IL 60604

IRA Transfer-In Request Form

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

General Instructions: This form should only be completed in situations where the account or an asset(s) is not eligible to be transferred via ACATS to IBG LLC. **Send the completed form to:** Interactive Brokers LLC • Attn: Retirement Accounts, Transfers • 209 South LaSalle Street, 10th Floor • Chicago, IL 60604. • Fax: 312-984-1032. **ACATS:** If your investment and delivering firm is ACATS eligible, submit the transfer via ACATS through Account Management. Please contact IBG LLC Customer Service for procedures on transferring the account via ACATS.

1. IRA Account Information • Print & return this completed form to IBG LLC.

Interactive Brokers Information

Please print or type

IB Account Number
IRA Owner
Social Security Number

Resigning Trustee/Custodian Information

Please print or type

Account Number	
IRA Owner	
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"/> Inherited Trad.	<input type="checkbox"/> Inherited Rollover
<input type="checkbox"/> Inherited Roth	<input type="checkbox"/> Inherited SEP

Resigning Trustee/Custodian 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"/> Inherited Trad.	<input type="checkbox"/> Inherited Rollover
<input type="checkbox"/> Inherited Roth	<input type="checkbox"/> Inherited SEP

* For transfers of funds to/from a Roth IRA and other IRA account types, please use the IRA Rollover form.

2. Transfer Instructions • Complete the following section to authorize the transfer and/or liquidation of assets at the resigning trustee/custodian.

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

Check One

☐

All Cash

Transfer Entire Cash Balance Only. All available cash will be transferred unless you indicate a different amount. No assets will be liquidated or transferred.

☐

\$ _____

Transfer Specified Cash Balance Only. Specified cash amount will be transferred. No assets will be liquidated or transferred.

Investments - Check for liquidation and enter quantity or % if required

☐

Liquidate¹ the listed assets immediately **and send the funds.** I understand that I may incur a penalty, sales charge, fee, or commission.

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 %
Acct. #	Security Name	Symbol	Shares or %

¹ IBG 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.

3. Note To IRA Owner • Please read.

Required Minimum Distribution "RMD": The IRS rules require that when you reach age 70 1/2, 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 based on your estimated life expectancy and account balance. For additional information, contact your local IRS office or visit www.irs.gov or call the IRS Forms Distribution Center at 800-829-3676. Ask for Publication 590 (for an IRA) or 560 (for an employer sponsored plan).

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 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 an 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 effect 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:	Account Owner Signature:	Date:
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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. Equity Trust Company Acceptance • For office use only.

Equity Trust Company hereby accepts the appointment as successor trustee and directed trustee on the above mentioned account and assets outlined on this form into the self-directed IRA at Interactive Brokers LLC (IB LLC). This IRA transfer request should include a copy of the Letter of Authorization in which Equity Trust Company appoints IB LLC to act as agent for transactions listed on the Letter. Should a Letter of Authorization or authorized signature not accompany this request, the request should be denied.

Equity Trust Authorized Signature	Date Signed	Date of Trust
		Equity Trust Company Tax ID#: 05-0552743
Contact: Retirement Accounts	Contact Phone: 877-442-2757	Contact Person:

9. Delivery Instructions • Send Check or Fed Wire Transfer.

USD Checks Retirement checks are subject to our credit hold policy.

Make checks* **payable to Interactive Brokers LLC** at:

Interactive Brokers LLC

8 Greenwich Office Park

Greenwich, CT 06831-0504

Attn: Cashiering Department - IRA

*Include the customer name on the check and a copy of this form with the check.

USD Fed Fund Wires

SWIFT BIC Code: CITI US 33

ABA Number: 021000089

Bank Account Name: Interactive Brokers LLC

Bank Account Number: 40806826

For further benefit to: IB Account Number / Client's Name

Bank address: Citibank, N.A. (New York Branch) Wall St, New York, NY, United States