

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 or custodian directly to another, either at your request or at the trustee or custodian 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 delivering trustee/custodian account.
- You can transfer funds only 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 **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 cash transfers through paper processing. In-kind transfers into an IRA are only accepted via ACATS. **Note:** We recommend that you consult a professional advisor and/or your current custodian 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.

Medallion Signature Guarantee (Optional)

- Contact your delivering 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 # 6 Interactive Brokers LLC Acceptance

- For IB LLC use.

Section # 7 Delivery Instructions

- Instructions for your current IRA trustee/custodian to send funds.

Form Delivery	Check* Delivery <small>*Include customer name on the check & a copy of the transfer form.</small>
<p>Print and mail the completed form directly to:</p> <p>Your Current IRA Trustee/Custodian.</p> <p>Note: Do not send this form to IB LLC.</p>	<p>Mail all IRA checks by regular or overnight mail to:</p> <p>Interactive Brokers LLC Attn: Cashiering Department - IRA 8 Greenwich Office Park Greenwich, CT 06831-0504</p>

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 delivering trustee or custodian. Deliver all checks* to: Interactive Brokers LLC, Attn: Cashiering Dept. - IRA ♦ 8 Greenwich Office Park ♦ Greenwich, CT 06831-0504 **ACATS:** If your investment and delivering firm is ACATS eligible, submit your transfer via the ACATS within the Account Management menu.

1. IRA Account Information • Complete & return this form to your delivering trustee/custodian.

Interactive Brokers Information

Please print or type

IB Account Number
IRA Owner's Name
Social Security Number

Delivering 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"/> Inherited Trad./Rollover	<input type="checkbox"/> Inherited Roth

Delivering 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./Rollover	<input type="checkbox"/> Inherited Roth

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

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

3. Note To IRA Owner • 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. 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-B (for an IRA Distribution) 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 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 delivering 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 Interactive Brokers LLC, my new 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:	IRA Owner Signature:	Date:
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Medallion Signature Guarantee:

If required by your delivering trustee/custodian, your signature must be guaranteed by a commercial bank, credit union, broker dealer, or any other eligible participant of the Medallion Signature Guarantee Program. The stamp is not a notary, and guarantees your signature for security transfers and other documents.

Checklist: Please review before sending your request to your delivering trustee/custodian.

♦Have you verified the delivering trustee or custodian transfer requirements?	♦Is the IRA information and transfer instruction complete?	♦Does the form include all required signatures?	♦If required, did you include your most recent account statement?
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6. Interactive Brokers LLC Acceptance

Interactive Brokers LLC (IB LLC) hereby accepts the appointment as successor custodian for the above mentioned account and assets outlined on this form into the self-directed IRA at IB LLC. Transfer the assets as instructed on this form on a fiduciary to fiduciary basis.



Interactive Brokers Authorized Signature
Kawone L. Harris
Manager, IRA Services - Client Services

Contact: Client Services	Contact Phone: Toll free 1 (877) 442-2757 or Direct dial 1 (312) 542-6901	IB LLC Tax ID#: 13-3863700
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7. Delivery Instructions • Send cash by check or fed wire transfer. IB LLC cannot accept stock certificates.

<p>USD Checks <i>IRA check deposits are subject to our credit hold policy.</i></p> <p>Make all checks* payable to Interactive Brokers LLC as follows:</p> <p>Interactive Brokers LLC 8 Greenwich Office Park Greenwich, CT 06831-0504 Attn: Cashiering Department - IRA</p> <p><i>*Include the customer name on the check and a copy of this form with the check.</i></p>	<p>USD Fed Fund Wires</p> <p>Wire funds as follows:</p> <p>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</p>
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