Interactive Brokers
The Professional's Gateway to the World's Markets

Instructions for
IRA Rollover Form

Please use this form to effect an IRA rollover of funds from a qualified retirement plan or another Individual Retirement Account (IRA) held outside of Interactive Brokers LLC (IB LLC), when a trustee-to-trustee transfer does not apply.

ROLLOVER ELIGIBILITY

Generally, a rollover is a tax-free distribution to you of cash or other assets from one retirement plan to another retirement plan. The rollover of assets is called a "rollover contribution." Almost any distribution from a qualified plan can be rolled over to an IRA (exceptions include: mandatory distributions, distributions on amounts that exceeded limits, non-spousal death benefit distributions and hardship withdrawals). For more information, review the Rollover Eligibility Certification Form or IRS Pub. 590.

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 IB LLC and the trustee/custodian account to be rolled over.

Section # 2 Transfer Instructions

- For a rollover 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 an asset transfer, then check (✓) the request and enter the asset's details.
- IB LLC only accepts cash transfers for rollover deposits. In-kind transfers into an IRA are only accepted via ACATS.

Note: *We recommend that you consult a professional advisor and/or the delivering trustee/custodian 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 Rollover Certification

- Check (✓) the box next to **IRA Rollover** to confirm your understanding. Additionally, complete, sign, date, and return the **IRA Rollover Certification** Form.

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 the delivering IRA trustee/custodian to send funds.

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

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IRA Rollover Form

Complete this form to rollover 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 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 Account 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

☐ Traditional IRA	☐ Rollover IRA
☐ Roth IRA	☐ SEP IRA
☐ Inherited Trad./Rollover	☐ Inherited Roth

Delivering Trustee/Custodian Account Type

Choose one

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

2. Transfer Instructions • Complete the following section to authorize the transfer and/or liquidation of assets at the delivering trustee/custodian for your rollover request.

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.

☐ **$**_____ — **Transfer Specified Cash Balance Only.** Specified cash amount will be transferred.

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

☐ **Liquidate**[1] 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.*

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3. Note To IRA Owner • Please read.

Required Minimum Distribution "RMD": The IRS rules require that when you reach age 70½, 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. 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 Rollover Certification • Please read and check.

☐ **IRA Rollover**

I certify that I have read, signed, and returned the IRA Rollover Certification to ensure that the funds are eligible for an IRA rollover.

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

To current trustee/custodian: Please transfer the assets in my account, as identified 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:	Account Owner Signature:	Date:

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 the 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?

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.

Kawone L Harris

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

Contact:	Contact Phone:	IB LLC Tax ID#:
Client Services	Toll free 1 (877) 442-2757 or Direct dial 1 (312) 542-6901	13-3863700

7. Delivery Instructions • Send cash by check or fed wire transfer. *IB LLC cannot accept stock certificates.*

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

Make **all 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

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IRA Rollover Certification

IB Account #:	IRA Type:	Amount:

Certification • Please select the appropriate choice. Certify your eligibility for the IRA rollover transaction and understanding of the rollover rules and conditions.

A. Traditional IRA or SIMPLE IRA to Traditional IRA Rollover

1. It has been less than 60 days since I received the funds or property being deposited.
2. I did not receive any other distributions from the distributing IRA during the preceding 12 months which I also rolled over.
3. The assets involved in this rollover have not been rolled over in the past 12 months.
4. If over 70 1/2 , I have satisfied my required minimum distribution for the year.
5. SIMPLE IRA only – it has been at least (2) years since I first began participating in a SIMPLE IRA plan sponsored by my employer.

B. Roth IRA to Roth IRA Rollover

1. It has been less than 60 days since the funds or property being deposited.
2. I did not receive any other distributions from the distributing IRA during the preceding 12 months which you also rolled over.
3. The assets involved in this rollover have not been rolled over in the past 12 months.

C. Rollover or Direct Rollover from Qualified Plan into a Traditional IRA

1. I am an eligible participant (participant, spouse beneficiary, or former spouse due to divorce).
2. It has been less than 60 days since I received the funds or property being deposited.
3. I received these funds from an eligible qualified retirement plan.
4. If over 70 ½, I have satisfied my required minimum distribution for the year.
5. The rollover consists only of funds or property distributed from the qualified plan #6 below.
6. The proceeds from the sale of property distributed from the qualified plan #5 above.
7. All of the funds included are eligible to be rolled over.

D. Traditional IRA to Roth IRA Rollover (indirect conversion)

1. It has been less than 60 days since I received the funds or property being deposited.
2. If over 70 1/2 , I have satisfied my required minimum distribution for the year.

Signature and Date • Please read.

I am familiar with and understand the rollover rules and conditions. I certify that I met the requirements for making a rollover contribution. Due to the important tax consequences of rolling over funds or property to an IRA, I understand that IB LLC cannot and has not provided tax advice. I release, indemnify and hold IB LLC harmless against any liabilities I may incur as a result of this transaction. By signing this agreement, I understand that I have irrevocably designated this contribution as a rollover contribution.

Signature • Please sign and date.

Print Name:	Date:
Your Signature:	

Retain a copy of this for your records.

IRS Circular 230 Notice: These statements are provided for information purposes only, are not intended to constitute tax advice which may be relied upon to avoid penalties under any federal, state, local or other tax statutes or regulations, and do not resolve any tax issues in your favor.