

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.

ROLLOVER ELIGIBILITY

Generally, a rollover is a tax-free distribution to you of cash or other assets from one retirement plan that you contribute to another retirement plan. The contribution to the second retirement plan 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 Interactive Brokers LLC (IB LLC) and the resigning Trustee/Custodian account to be rolled over.

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 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.

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 Principal Trust Company Acceptance

- For office use only.

Section # 9 Delivery Instructions

- Instructions for your current IRA custodian to send funds.

Form Delivery	Check [*] Delivery <small>*Include customer name on the check & a copy of the transfer form.</small>
Send completed form by regular or overnight mail to: Interactive Brokers LLC Attn: Retirement Accounts, Rollover 209 South LaSalle Street, 10th Floor Chicago, IL 60604	Mail all checks by regular or overnight mail to: Interactive Brokers LLC Attn: Cashiering Department - IRA 8 Greenwich Office Park Greenwich, CT 06831-0504

IRA Rollover Form

Complete this form to roll over funds from a 401(k), IRA, or other retirement plan into an Interactive Brokers LLC (IBG LLC) IRA with Equity Trust Company as the IRA trustee.

Mail the completed form to: Interactive Brokers LLC ♦ Attn: Retirement Accounts ♦ 209 South LaSalle Street, 10th Floor ♦ Chicago, IL 60604. **Deliver all checks* to:** Interactive Brokers LLC, Attn: Cashiering Dept. - IRA ♦ 8 Greenwich Office Park ♦ Greenwich, CT 06831-0504 **ACATS:** If your delivering firm is ACATS eligible, please use this form. IBG LLC does not accept rollover transfers via ACATS.

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

Interactive Brokers Account 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"/> 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	

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

☐

Liquidate¹ the listed assets immediately **and send the cash.** 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 %

¹ Interactive Brokers 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 Rollover Certification • Read & check the box to certify this transfer.

☐

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 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:

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 **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

IRA Rollover Certification

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IB Account #: IRA Type: Contribution 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 1/2, I have satisfied my required minimum distribution for the year.
5. The rollover consists only of funds or property distributed from the qualified plan, or #6.
6. The proceeds from the sale of property distributed from the qualified plan, or #5.
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 the Trustee and IBG LLC cannot, and have not provided tax advice. I release, indemnify and hold the Trustee and IBG 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:
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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.