



Instructions for IRA Rollover Form

Please use this form to affect an IRA rollover 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 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 IB LLC and the current 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 **Full Cash Transfer**.
- For a specific cash amount, check (✓) the box and enter a dollar amount.
- If liquidating assets for a fund transfer, then check (✓) the request and enter the asset details.
- IB LLC only accepts cash transfers for rollover deposits. **Note:** *We recommend that you consult a professional advisor and/or the current 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 Required Minimum Distributions

- 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 current 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 # 8 Interactive Brokers LLC Acceptance

- For office use only.

Section # 9 Delivery Instructions

- Instructions for your current IRA Custodian/Trustee 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: <i>Do not send this form to IB LLC.</i>	Mail all IRA checks by regular or overnight mail to: Interactive Brokers LLC Attn: Cashiering Department - IRA 2 Pickwick Plaza Greenwich, CT 06831

Complete this form to roll over assets from a 401(k), IRA, or other retirement plan into an Interactive Brokers LLC (IB LLC) as the IRA custodian.

General Instructions: Print and mail this form to your current trustee or custodian. **Deliver all checks* to:** Interactive Brokers LLC, Attn: Cashiering Dept. - IRA ♦ 2 Pickwick Plaza ♦ Greenwich, CT 06831. **ACATS:** If your investment and delivering firm is ACATS eligible, initiate your transfer from the Position Transfers page in Account Management.

1. IRA Account Information ♦ Complete & return this form to your current Trustee/Custodian.

Interactive Brokers Account Information

Please print or type

IB Account Number
IRA Owner's Name
Social Security Number

Current 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

Current 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. Current Custodian/Trustee Transfer Authorization ♦ Please accept this form as your authority to transfer the entire cash balance to Interactive Brokers as successor Custodian of the above referenced retirement account, unless otherwise indicated. Do not transfer assets in-kind or re-register shares to Interactive Brokers.

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

Check One

- ☐ **Full Cash Transfer** ♦ Deliver the entire cash balance.
- ☐ **Full Cash Transfer & Liquidate all assets¹** ♦ Liquidate all of the assets and transfer the entire proceeds.
- ☐ **Partial Cash Transfer of \$_____** ♦ Liquidate¹ the assets listed below and transfer the specified cash amount.

Investments - List the ticker symbol, name, and quantity of the assets for liquidation.

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. Some investments may be subject to a penalty, sales charge, fee, trailing commission, or other expenses upon sale.



3. Required Minimum Distribution • 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. We recommend that you consult your professional tax advisor or legal counsel for assistance in determining your RMD.

4. IRA Rollover Certification

☐

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.

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 Interactive Brokers LLC, my new custodian. I authorize you to deduct any fees due to affect 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:

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. Interactive Brokers LLC Acceptance • For office use only.

Interactive Brokers LLC (IB LLC) hereby accepts the appointment as successor custodian for the above referenced account.

Kawone L. Harris Manager, IRA Services - Client Services

INTERACTIVE BROKERS AUTHORIZED SIGNATURE

NAME

Contact:

Client Services

Contact Phone:

Toll free 1 (877) 442-2757 or Direct dial 1 (312) 542-6901

IB LLC Tax ID#:

13-3863700

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

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
2 Pickwick Plaza
Greenwich, CT 06831
Attn: Cashiering Department - IRA

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

*Include the account title at the sending institution in the memo field.

USD Fed Fund 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
By order of: Account Title at Sending Institution
Bank address: JPMorgan Chase Bank, N.A., 383 Madison Avenue
New York, NY, 10017, United States



Upload the completed form through the Secure Message Center, Attn: IRA Services. Or, mail the form to Interactive Brokers LLC • Attn: IRA Services • 209 South LaSalle Street, 10th Floor • Chicago, IL 60604.

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 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:
IRA Owner 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.