



# IRA Trustee Transfer Form

Complete this form to transfer an existing IRA to an Interactive Brokers LLC (IB LLC) IRA

**General Instructions: Print and mail this form to your current trustee or custodian.** **ACATS:** If your investment and delivering firm is an ACATS participant, initiate your transfer from the transfer positions page in Client Portal.

**1. IRA Account Information**

**Interactive Brokers Information**  
Please print or type

IB LLC Account Number
IRA Owner's Name
Social Security Number

**Resigning 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
<input type="checkbox"/> SIMPLE	

**Current 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
<input type="checkbox"/> SIMPLE	

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

**2. Current Custodian/Trustee Transfer Authorization** • Please accept this form as your authority to transfer the cash balance and/or securities to Interactive Brokers as successor Custodian of the above referenced retirement account. **Only complete the portion(s) applicable to your transfer.**

**Transfer Instructions**

Cash Transfer \$ \_\_\_\_\_ .

**US Securities** - Limited securities include US Stocks, US Warrants or US Bonds only. Only WHOLE SHARE amounts for long US securities are eligible (no fractional or short shares). List the security name, symbol/CUSIP and quantity.

Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity
Security Name	Symbol/CUSIP	Quantity



**3. Required Minimum Distribution ♦ Please read.**

**Required Minimum Distribution "RMD":** "I understand that the IRS rules requires annual withdrawals at a particular age. If my RMD payment is not received before the IRS mandated deadline, the IRS may penalize a percentage of the required distribution. The RMD amount is recalculated each year based on my estimated life expectancy and year-end account balance. For additional information, I may contact the IRS directly, visit [www.IRS.gov](http://www.IRS.gov) or consult a professional tax advisor."

**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.**

Print Name:	IRA Owner Signature:	Date:
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**6. Notary Signature & Seal (If required by your current custodian)**

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**

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

 \_\_\_\_\_  
 INTERACTIVE BROKERS AUTHORIZED SIGNATURE                      NAME                      **Lanetta R. Phillips Manager, IRA Services - Client Services**

Contact: IRA Services Department	Contact Phone: 877-442-2757	IB LLC Tax ID#: 13-3863700
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**9A. Delivery Instructions for Cash Send cash by bank wire transfers or check.**

<b>USD Checks</b> <i>Checks are subject to credit and deposit hold policies available at <a href="http://interactivebrokers.com">interactivebrokers.com</a></i>	<b>USD Bank Wires</b>
<b>Make all checks *payable to Interactive Brokers LLC</b> as follows:	<b>Wire funds as follows:</b>
Interactive Brokers LLC <Client Name> PO Box 736868 Chicago, Illinois 60673-6868 Attn: Cashiering Department - IRA  <b>For Express/Overnight Mailing, mail to:</b> 2 Pickwick Plaza Greenwich, Connecticut 06830 Attn: Cashiering  <i>Please reference client's IBLLC account number on memo line.</i>	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 Bank address: JPMorgan Chase Bank, N.A., 383 Madison Avenue New York, NY, 10017, United States

**9B. Delivery Instructions for Positions**

<b>DTC Participant ID</b>	0534
<b>Beneficiary Account</b>	Please reference the IB Account Number
<b>PSET</b>	DTCYUS33XXX
<i>Please note: IB LLC cannot accept stock certificates.</i>	