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TradeKing.com • MEMBER FINRA/SIPC

Thank you for moving your assets to TradeKing Securities. We will make this process easy for you. Simply complete the form below, **attach a recent statement from your current broker**, and fax (866-699-0563), email (service@tradeking.com), or mail it to us. Here are some tips that will expedite the transfer of your assets:

- There are 5 steps to this form.
 - Steps 1 and 2 must be completed in full
 - Step 3 – select only one transfer option. Use additional forms for other transfers
 - Step 4 only applies to IRA transfers. Write the approximate value of the transfer in that space
 - Step 5 – The form must be signed by all parties on the account. Notary is NOT required
- We cannot process your transfer request without a copy of your most recent statement from your current broker. **Please send the entire statement. The transfer cannot be completed without the entire statement.**
- You can transfer assets only between same-type accounts (e.g., an IRA to IRA, a Trust to Trust). If you opened a TradeKing Individual account and the account at your current broker is a Joint, you will need to open a new TradeKing Joint account before requesting a Transfer.
- **PARTIAL transfers from a Brokerage Firm:** please specify the exact number of shares and the symbol of each position that you wish to transfer. Writing "all" or "total" will make the request void. Also, specify the amount of Cash to be transferred, even if you wish to transfer all your cash. If you require additional space please go to the last page of this document.
- Employee retirement accounts (i.e. **401k**): please contact your plan administrator to get their paperwork, complete it, and send it to us with this completed form (and a recent copy of your account statement). Please enter in the appropriate box the street address of the firm where your account is held so that we may send your request via overnight delivery. Note that transfer time depends on retirement plan.

Also please note:

The speed of completing a transfer depends on the delivering Firm. Typically, transfers will take 5-7 business days. Transferring an IRA may take up to 10 business days.

We will credit your transfer fees up to \$150 when completing a first-time account transfer for \$2,500 or more. Credit will be deposited to your account within 30 days of receipt of evidence of charge. This offer does not apply to Termination Fees or Maintenance Fees.

1. TRANSFER TO TRADEKING ACCOUNT NUMBER _____

PRIMARY ACCOUNT HOLDER		JOINT ACCOUNT HOLDER, if applicable	
Name of primary owner of TRADEKING SECURITIES account (your name as it appears on account statement, no nicknames. For IRAs, please state type, for ex.: Jane Smith – Roth IRA)		Name of Joint owner of TRADEKING SECURITIES Account, if applicable	
Social Security Number or Tax ID		Social Security Number or Tax ID	
Daytime Telephone	Email Address	Daytime Telephone	Email Address

2. TRANSFER FROM (use one form for each account being transferred):

Title and information of account that you are transferring from:

Account Title (enter your or company/trust name as it appears on the account statement held at other firm)		Transfer from account number:	
Name of Firm where account is held	Address of Firm where account is held	Telephone of Firm where account is held	Depository Trust Company (DTC) # (normally a 4 digit number) of Firm where account is held. Leave blank if unknown:

Type of account that you are transferring: **(Must match exactly the type of account you are holding at TradeKing)**

Please check ONLY ONE box:

<input type="checkbox"/> Individual Account (not IRA)	<input type="checkbox"/> SEP	<input type="checkbox"/> Trust	<input type="checkbox"/> Corporate
<input type="checkbox"/> Joint	<input type="checkbox"/> SIMPLE	<input type="checkbox"/> Estate	<input type="checkbox"/> Partnership
<input type="checkbox"/> Custodial	<input type="checkbox"/> SOLO 401K	<input type="checkbox"/> Coverdell Educ.	<input type="checkbox"/> Other (please specify type): _____
<input type="checkbox"/> Traditional IRA	<input type="checkbox"/> SOLO Money Purchase Plan		
<input type="checkbox"/> Rollover IRA	<input type="checkbox"/> SOLO Profit Sharing Plan		
<input type="checkbox"/> Roth IRA			
<input type="checkbox"/> 401K or other Employer Sponsored Plan			

3. TYPE OF TRANSFER (select only one, use a different form for multiple transfers)

➤ **Transfer from a Stock Brokerage Firm (select full or partial)**

Full Account Transfer from brokerage firm – Transfer my entire account in kind and redeem any core money market positions to cash. Proprietary products will not be transferred. Fractional shares will be liquidated. **(Almost done! skip to signature on page 3 and don't forget to attach a recent copy of your statement)**

Partial Transfer – Transfer only the assets listed below. These assets will be transferred in kind. If you would like to liquidate please do so at your current firm prior to initiating the transfer. If transferring securities please write the exact amount of shares (**whole shares only**), for cash please write the exact amount of cash. Use other sheets located on page 5 of this document if necessary.

Quantity

Write exact amount.

Do not write "all"

Asset Description

Symbol

Quantity	Asset Description	Symbol

Transfer from a 401K or Other Employer Sponsored Plans

- Please contact your plan administrator and request the paperwork from them to transfer the plan. Complete administrator's paperwork. Sign this form on page 3. Mail to us the administrator's paperwork, this form, and a recent copy of your account statement.

➤ **Transfer from a Mutual Fund Company, a Bank, a Savings & Loan, an Insurance, or Credit Union**

Mutual Fund Company - Full and Partial Transfers: always list all the individual funds to be transferred below. Even if you are transferring all funds, you will need to list each individual fund below in **Section A**. (Use separate forms for each financial institutions from which you are transferring.) If you have cash not in a money market please enter this in Section B below.

Bank, S&L, Insurance, Credit Union (Cash, CDs, and Annuities). **Complete Section B only.** Transfer assets as identified in **Section B**:. (Use separate forms for each financial institutions from which you are transferring.)

Section A - List of Securities, Mutual Funds or Money Market Funds. Please note, all mutual funds are defaulted to reinvest dividends and capital gains. If you do not want these to be reinvested, please contact us once the transfer is complete.

Number of Shares Write exact amount or all	Name of Security or Fund	Symbol, Cusip, or Fund Number	Mutual Funds Transfers Only (choose either in-kind transfer or liquidate)	
			<input type="checkbox"/> In-Kind transfer	<input type="checkbox"/> Liquidate
<input type="checkbox"/> short position			<input type="checkbox"/> In-Kind transfer	<input type="checkbox"/> Liquidate
<input type="checkbox"/> short position			<input type="checkbox"/> In-Kind transfer	<input type="checkbox"/> Liquidate
<input type="checkbox"/> short position			<input type="checkbox"/> In-Kind transfer	<input type="checkbox"/> Liquidate
<input type="checkbox"/> short position			<input type="checkbox"/> In-Kind transfer	<input type="checkbox"/> Liquidate
<input type="checkbox"/> short position			<input type="checkbox"/> In-Kind transfer	<input type="checkbox"/> Liquidate
<input type="checkbox"/> short position			<input type="checkbox"/> In-Kind transfer	<input type="checkbox"/> Liquidate
<input type="checkbox"/> short position			<input type="checkbox"/> In-Kind transfer	<input type="checkbox"/> Liquidate

<p>Section B: cash in a partial transfer: always write amount of cash in box #1 even if it is the total amount. Bank, S&L, Credit Union or Insurance Company. (Please initial your selection)1</p> <p><input type="checkbox"/> For this account transfer, transfer all the cash in my account. Currently my cash balance is: _____</p> <p>Initials: _____</p>	<p>2</p> <p><input type="checkbox"/> Transfer only this exact amount of cash \$ _____</p> <p>Initials: _____</p>	<p>5</p> <p><input type="checkbox"/> Liquidate my annuity and transfer proceeds immediately. I acknowledge that I may incur penalties for early withdrawal.</p> <p>Initials: _____</p>
	<p>3</p> <p><input type="checkbox"/> Transfer proceeds at maturity</p> <p>Initials: _____</p>	<p>4</p> <p><input type="checkbox"/> Liquidate CD and transfer proceeds immediately. I acknowledge that I may incur penalties for early withdrawal. Initials: _____</p>

4. ACKNOWLEDGEMENT FOR IRA ROLLOVER REGISTRATIONS

Acknowledgment: I have read and understand the rollover rules and conditions on page 4 and I have met the requirements for making a rollover. Due to the important tax consequences of rolling over funds or property to an IRA, I have been advised to see a tax professional. All information provided by me is true and correct and may be relied on by the trustee. I assume full responsibility for this rollover transaction and will not hold the trustee liable for any adverse consequences that may result. I hereby irrevocably designate this contribution of \$ _____ in cash and/or property as a rollover contribution.

5. CLIENT SIGNATURE TO EXECUTE TRANSFER

TO THE TRANSFERRING FIRM NAMED:

Please be advised that, if I am transferring a retirement account, I have amended my retirement plan and have adopted a new retirement plan with Apex Clearing Corp. as successor trustee. Pursuant to said amendment, please transfer all assets in my account to such successor trustee.

I understand that to the extent any assets in my account are not readily transferable, with or without penalties; such assets may not be transferred within the time frames required by New York Stock Exchange Rule 412 or similar rule of the Financial Industry Regulatory Authority (FINRA) or other designated examining authority. Unless otherwise indicated, I authorize you to liquidate any non-transferable proprietary money market fund assets that are part of my account, deduct any outstanding fees due you, and transfer the resulting credit balance to Apex Clearing on behalf of TradeKing or to the successor trustee. I understand that if I choose a method of disposition of such assets other than liquidation and transfer, I may become liable for payment of taxes and penalties with respect to such assets. I also understand that the transferring firm will contact me with respect to the disposition of any other assets in my account that are not transferable. I authorize you to deduct any outstanding fees due you from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance in the account is insufficient to satisfy any outstanding fees due you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy any outstanding fees due you. If certificates or other instruments in my account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor trustee to transfer them in its name for the purpose of sale, when and as directed by me. Upon receiving a copy of this transfer instruction, the carrying organization will cancel all open orders for my account on its books.

I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me, if any, in connection with the account I have designated for transfer.

Client's Signature (Or authorized signature)
 PRINT NAME: _____

Date (Must be completed)

Client's Signature (If joint or multiple trustees)
 PRINT NAME: _____

Date (Must be completed)

<p>Letter Of Acceptance: To the prior trustee or custodian: Please be advised that Apex Clearing Corp. will accept the account described herein as successor trustee.</p> <p>_____ Authorized Signature (Custodian's use only)</p>	<p>_____ Medallion Signature Guarantee (Internal Use Only)</p>
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Rules And Conditions Applicable To Rollovers

General Information

A rollover is a way to move money or property from one eligible retirement plan (e.g. IRA or Qualified Plan) to another eligible retirement plan. The Internal Revenue Code (IRC) limits how many rollovers may be taken, how quickly rollovers must be completed and how the Trustee or Custodian must report the transaction. By properly completing this form you are certifying to the Trustee or Custodian that you have satisfied the rules and conditions applicable to your rollover and that you are making an irrevocable election to treat the transaction as a rollover.

(Option One) TRADITIONAL IRA OR SIMPLE IRA ROLLOVER

1. TIMELINESS.

The funds you receive from the distributing IRA must generally be deposited into another IRA within 60 days after you receive them. However, this SIMPLE IRA ROLLOVER period is 120 days for certain rollovers relating to first-home purchases. When counting the 60 (or 120) days, include weekends and holidays. The IRS has the authority to grant extensions to the 60 (or 120) day rule in cases where a hardship would be related (e.g., casualty, disaster, etc.). Receipt generally means the day you actually have the funds in hand. For example, the 60 days would begin on the day following the day you pickup the check from the Trustee or Custodian or you receive the check in the mail.

2. RMD ROLLOVER RESTRICTION

If this rollover is being made during or after the year for which you are required to begin receiving distributions, you cannot roll over any distribution to the extent that it is a required minimum distribution from the distributing plan. If the deceased IRA holder died after his or her required beginning date and you are the spouse beneficiary of a deceased IRA holder and you are rolling this IRA into your own IRA, you must make sure that the deceased's required minimum distribution for the year of death is removed from his or her IRA assets prior to the completion of the rollover.

3. TWELVE MONTH RESTRICTION

You are entitled to one distribution per year per IRA, which may be rolled over. Twelve (12) months must pass after receipt of one distribution which you roll over before you may take another distribution from the same IRA to roll over. The focus is on distributions out of an IRA. An IRA is created by executing a plan agreement, not by depositing a contribution into a separate investment within an existing IRA. You are entitled to roll over the same assets only once in a twelve (12) month period. Twelve (12) months must elapse between the time you receive a distribution of the assets to be rolled until you receive another distribution of those same assets for rollover purposes.

4. SIMPLE IRA ROLLOVER RESTRICTIONS

You may roll funds from one SIMPLE IRA to another SIMPLE IRA if the timeliness and 12 month restriction discussed above have been met. In addition, a SIMPLE IRA may be rolled to a Traditional IRA provided two years have passed since you first participated in your employer's SIMPLE salary reduction arrangement.

(Option Two) QUALIFIED RETIREMENT PLAN OR TAX SHELTERED ANNUITY TO IRA ROLLOVER

1. ELIGIBLE PERSON

Only an eligible person may roll funds from a Qualified Retirement Plan (QRP), Tax Sheltered Annuity (TSA or 403(b)), or 457(b) deferred compensation plan into an IRA. You will only be an eligible person if you were or are a participant in the distributing plan, the surviving spouse beneficiary of a deceased participant, or the alternate payee identified in a Qualified Domestic Relations Order (QDRO). A QDRO is a domestic relations order issued in a divorce proceeding which meets certain conditions and which grants to an alternate payee (e.g. ex-spouse) the right to receive all or a portion of a participant's benefits under a QRP. If the alternate payee is a spouse or former spouse, the alternate payee can roll all or a portion of the amount received to an IRA.

2. ELIGIBLE PLAN

A distribution will not be eligible to be rolled over unless that distribution is made from an eligible plan. An eligible plan is one that is qualified under IRC Section 401(a), (including 401(k) plans), 403, or 457(b). Eligible plans include defined benefit plans, profit sharing plans, money purchase plans, 401(k) plans, tax sheltered annuities, 457(b) deferred compensation plans, and employee stock ownership plans.

3. ELIGIBLE ROLLOVER

Only certain types of QRP, TSA, or deferred compensation plan distributions, called "eligible rollover distributions," may be deposited into an IRA. Eligible rollover distributions include most distributions from eligible plans except the following.

Required Minimum Distributions - Distributions which represent required minimum distributions paid during a participant's first distribution calendar year or later may not be rolled over.

Substantially Equal Periodic Payments - For purposes of determining an eligible rollover distribution, substantially equal periodic payments are defined as a series of substantially equal distributions made not less frequently than annually and calculated

- 1) over the life (or life expectancy) of the individual or the joint lives (or life expectancies) of the individual and the individual's beneficiary
or
- 2) for a period of 10 years or more.

Death Benefit Exclusion Amounts - If you are a surviving spouse beneficiary and your spouse died before August 21, 1996, a portion of your distribution may qualify for the Death Benefit Exclusion Allowance. You may not roll over any portion of your distribution which qualifies for the Death Benefit Exclusion Allowance.

P.S. 58 Costs - If you received distribution of a life insurance policy from a plan, the amounts attributable to the cost of life insurance purchased by the plan which have been previously taxed to the participant may not be rolled over. If property other than cash is distributed, only the same property or the proceeds from its sale may be rolled over. If you receive property but wish to roll over cash, you must actually sell the property and roll over the proceeds.

Hardship Distributions - Distributions taken on account of financial hardship are not eligible to be rolled over.

Asset Transfer Form

4. TIMELINESS

The funds you receive from the distributing plan must be deposited in an IRA within 60 days after you receive them, excluding the day of receipt. When counting the 60 days include weekends and holidays. Receipt generally means the day you actually have the funds in hand.

5. CAUTION ABOUT COMMINGLING FUNDS

If you are rolling funds from certain retirement plans, you may be eligible to take advantage of favorable tax treatment if this IRA is maintained as a conduit IRA and rolled back to a qualified retirement plan. See your tax advisor for additional information.

Partial Transfer from a Stock Brokerage Firm

Partial Transfer – Transfer only the assets listed below. These assets will be transferred in kind. If you would like to liquidate please do so at your current firm prior to initiating the transfer. If transferring cash please write the amount of cash. Use other sheets if necessary located on page 5 of this document

Quantity

Asset Description

Symbol

Write exact amount.
Do not write "all"

Quantity	Asset Description	Symbol