

Thank you for moving your assets to Ally Invest. We will make this process easy for you. Simply complete form and return it using one of the following modes of delivery

Return to:

Mail:

Ally Invest Securities
PO Box 30248
Charlotte, NC 28230

Send overnight deliveries to:

Ally Invest Securities
601 S Tryon St.
Suite 100
Charlotte, N.C. 28202

Fax:

Subject Line: Ally Invest Account Transfer
Fax Number: 866-699-0563

- **There are 5 Steps to this form.**
 - o Step 1 & 2 - Must be completed in full.
 - o Step 3 – Select only one transfer option. Use additional forms for other transfers.
 - o Step 4 – Only applies to IRA Transfers. Write the approximate value of the transfers in that space.
 - o Step 5 – The form must be signed by all parties on the account. Notary is NOT required.
- You can transfer assets only between same-type accounts (e.g. an IRA to IRA, a Trust to Trust). If you opened an Ally Invest Account and the account at your current broker is a Joint, you will need to open a new Ally Invest 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 required 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 \$75 when completing a first-time transfer of \$2,500 or more. Credit will be deposited to your account within 30 days of receipt of evidence of charge. This odder does not apply to Termination Fees or Maintenance Fees.

I. TRANSFER TO ALLY INVEST ACCOUNT NUMBER

PRIMARY ACCOUNT OWNER NAME

JOINT ACCOUNT OWNER NAME

SOCIAL SECURITY NUMBER OR TAX ID

SOCIAL SECURITY NUMBER OR TAX ID

DAY TIME PHONE NUMBER

EMAIL ADDRESS

DAY TIME PHONE NUMBER

EMAIL ADDRESS

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

ACCOUNT TITLE (enter your or company/trust name as it appears on the account statement of the other firm)

TRANSFER FROM ACCOUNT NUMBER

NAME OF FIRM WHERE ACCOUNT IS HELD

ADDRESS OF FIRM WHERE YOU HOLD THE ACCOUNT

DEPOSITORY TRUST COMPANY (DTC) # (normally 4 digits. leave blank if unknown)

TELEPHONE OF FIRM WHERE ACCOUNT IS HELD

Individual Account (not IRA)

SEP

Trust

Corporate

Joint

SIMPLE

Estate

Partnership

Custodial

SOLO 401K

Coverdell Educ.

Other (please specify):

Traditional IRA

SOLO Money Purchase Plan

Rollover IRA

SOLO Profit-Sharing Plan

Roth IRA

401k or other Employer Sponsored Plan

III. TYPE OF TRANSFER (use one form for each account being transferred):

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

Full Account transfer: 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 Account 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 exact amount of cash. Use other sheets located on page 6 of this document if necessary

Quantity
(Write exact amount.
Do not write all)

**Symbol, CUSIP,
Fund #**

Asset Description



Transfer from a 401k or Other Employer Sponsored Plans

- o Please contact your plan administrator and request the paperwork from them to transfer the plan. Complete administrators' 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 & 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 institution 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 institution 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.

Quantity (Write exact amount. Do not write all)	Symbol, CUSIP, Fund #	Asset Description	Mutual Fund Transfers Only		
			(Choose either in-kind or liquidate)		
			IN-KIND TRANSFER	OR	LIQUIDATE
Short Position					
			IN-KIND TRANSFER	OR	LIQUIDATE
Short Position					
			IN-KIND TRANSFER	OR	LIQUIDATE
Short Position					
			IN-KIND TRANSFER	OR	LIQUIDATE
Short Position					
			IN-KIND TRANSFER	OR	LIQUIDATE
Short Position					
			IN-KIND TRANSFER	OR	LIQUIDATE
Short Position					

SECTION B: Please select one of the following options and initial any corrections you make.

1. For this account transfer, transfer all the cash in my account. Currently my cash balance is: \$
(Cash in a partial transfer: Always write amount of cash in section 1 even if it is the total amount. Bank, S&L, Credit Union or Insurance Company.)

Initials
2. Transfer only this exact amount of cash: \$

Initials
3. Liquidate my annuity and transfer proceeds immediately. I acknowledge that I may incur penalty for early withdrawal.

Initials
4. Transfer proceeds at maturity.

Initials
5. Liquidate CD and transfer proceeds immediately. I acknowledge that I may incur penalties for early withdrawal.

Initials

IV. **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.

V. **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 Ally Invest 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.

PRIMARY ACCOUNT OWNER NAME

JOINT ACCOUNT OWNER NAME

PRIMARY ACCOUNT OWNER SIGNATURE

DATE

JOINT ACCOUNT OWNER SIGNATURE

DATE

LETTER OF ACCEPTANCE: TO THE PRIOR TRUSTEE OR CUSTODIAN

PLEASE BE ADVISED THAT APEX CLEARING CORP. WILL
ACCEPT THE ACCOUNT DESCRIBED HERE IN AS
SUCCESSOR TRUSTEE

MEDALLION SIGNATURE GUARANTEE (Internal Use)

AUTHORIZED SIGNATURE (Custodian's use only)

ASSET TRANSFER FORM



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

I. 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 pick up the check from the Trustee or Custodian or you receive the check in the mail.

II. 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.

III. 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.

IV. 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

I. 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.

II. 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.

III. 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.



Partial Transfer from a Stock Brokerage Firm:

Partial Account 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 exact amount of cash. Use other sheets located on page 6 of this document if necessary

Quantity	Symbol, CUSIP,	Asset Description
(Write exact amount.	Fund #	
Do not write all)		