DTC Transfer – Free Delivery Request Form

Important Notes:

- DTC number must be 4 digits and receiving firm must be DTC eligible.
- "Trade/Settle Date" may be left blank
- Fractional shares/Cash/Mutual Funds cannot be transferred using DTC.
- Charitable Donations are eligible using DTC transfers **(Notary is required)**
- No 3rd party transfers are allowed.

Transfer Fee: $50 per item/CUSIP

Submit the DTC Transfer Form by one of the following methods:

- Online Document Upload: Log in to our website, click on Customer Service→Form Center→Upload Form
- Fax to 1-718-961-3919
- Email to transfer@firstrade.com (Must be sent from the registered email address on file)

If you have any additional questions, please contact us at 1-800-869-8800 or email us at transfer@firstrade.com

FIRSTRADE

30-50 Whitestone Expressway
Ste. A301, Flushing, NY 11354
Client Services: (800) 869-8800
From Overseas: (718) 961-6600

FREE DELIVERY
R E Q U E S T   F O R M

DATE	

Instructions must be dated within 30 days from the date of receipt by Apex.

TRANSFER INFORMATION

Apex Clearing Account No.	
Apex Clearing Account Name	

	Symbol/CUSIP	Shares		Symbol/CUSIP	Shares
1			6		
2			7		
3			8		
4			9		
5			10		

Trade Date:		Settle Date	
Receiving Firm DTC No.			
Receiving Account No.			
Receiving Account Name			
Reason for Transfer			

CUSTOMER AUTHORIZATION

_____   _____
Customer Signature   *Joint Account Holder Signature*

I/We agree to hold all parties acting on this request, including the introducing broker and Apex Clearing Corporation, and their respective agents and employees (hereinafter, collectively, "the parties") harmless from any and all claims, demands, proceedings, suits and actions and all liabilities, losses and expenses including without limitation those asserted by me, associated with actions taken by the parties due to instructions received from me in this request.

NOTARY

Notary Seal:

_____
Notary Signature

FOR INTERNAL USE ONLY

Registered Principal Approval:

Print Name	Title	Signature	Date

Compliance Officer Approval/Registered Principal Approval

Print Name	Title	Signature	Date

PF10090-FDEL 08/17/2018