



## Account Transfer Form

Did you know that you can transfer your account online?

What you'll need:

- The name and account number of your existing brokerage firm
- A matching account – the account type of your existing brokerage account must match with your FirstTrade account.

Simply login to your account, go to “My Account” > “Deposit/Transfer” > “Account Transfer” to begin the transfer.

---

To transfer your account by paper, please review the following instructions to fill out the attached Apex Clearing Corporation Customer Account Transfer Form.

**Section 1: Information about your account:** Please fill out information about your FirstTrade account.

**Section 2: Information about the account you are transferring**

**Section 3: Type of Transfer:** Please select a transfer type (8 options provided)

**Section 4: Partial Transfer:** Used for partial transfer only, please select “Transfer in Kind” or Liquidate”.

**Section 5: Mutual Fund Company Transfer:** Only fill out this section if you are transferring from a Mutual Fund Company.

**Section 6: Signature(s):** All account holders are required to sign. If you are the custodian or trustee of the account you are transferring from, please also complete the “Letter of Acceptance” in this section.

**Section 7: Letter of Authorization:** If you are transferring from an individual account at the delivering firm to a joint account at FirstTrade account, please complete section 7. (Notary required)

Please submit the Account Transfer Form by using one of the following methods:

- Document Upload: Login to your account, go to “Customer Service” > “Form Center” > “Upload Form” to upload your documents.
- Fax: 1-718-961-3919
- Email: [transfer@firsttrade.com](mailto:transfer@firsttrade.com)



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

# APEX CLEARING CORPORATION CUSTOMER ACCOUNT TRANSFER FORM

Receiving Firm – Apex Clearing Corporation (“Apex Clearing”) – Clearing #0158

## 1. Information about your account:

Title of Your Account:	
Apex Clearing Account Number:	SSN / Tax ID:

**\*\* Please attach a copy of your most recent statement for the account you are transferring to Apex.**

## 2. Information about the account you are transferring:

Title of Your Account:	
Account Number:	Name of Firm:
Address of Firm:	
City, State, ZIP	Broker Clearing No:

**\*\* If your ApexClearing account is not the same type of account as the one you are transferring, you must complete the Letter of Authorization (Section 7) on the 2<sup>nd</sup> page of this form.**

## 3. Type of Transfer:

- |  |   |
|--|---|
| <input type="checkbox"/> Brokerage Firm Transfer (Transfer all assets in kind) | <input type="checkbox"/> Non-ACAT Transfer (Transfer all assets in kind)  |
| <input type="checkbox"/> Liquidate all assets and Transfer as cash             | <input type="checkbox"/> Liquidate annuity and transfer as cash   |
| <input type="checkbox"/> Partial Transfer (Skip to Section 4)                  | <input type="checkbox"/> Liquidate Certificates of Deposit IMMEDIATELY.<br>(I am aware of and acknowledge the penalty for early withdrawal) |
| <input type="checkbox"/> Mutual Fund Company Transfer (Skip to Section 5)      | <input type="checkbox"/> Transfer proceeds of Certificates of Deposit AT MATURITY (Submit transfer request 30 days prior to maturity).      |

## 4. Partial Transfer: (Please specify the assets you wish to transfer, Attach additional pages if needed)

Quantity	Assets Description / Symbol	Transfer (Select One)
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate

## 5. Mutual Fund Company Transfer: (Use a separate form for each mutual fund company)

Name of Fund Company:					
Name of Fund/Symbol/Cusip	Fund Account #	Transfer (Select One)	Future Dividend (Select One)	Future Capital Gains (Select One)	
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> ALL <input type="checkbox"/> # of Shares _____	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> ALL <input type="checkbox"/> # of Shares _____	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash
		<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate	<input type="checkbox"/> ALL <input type="checkbox"/> # of Shares _____	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay in Cash

## 6. Signature(s): (Please read and sign below)

If this account is a qualified retirement account, I have amended the applicable plan so that it names Apex Clearing Corporation ("Apex Clearing") as successor custodian. Unless otherwise indicated in the instructions above, please transfer all assets in my account to Apex Clearing. 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 NYSE Rule 412 or similar rule of FINRA or other designated examining authority.

I authorize you to liquidate any non-transferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to Apex Clearing. 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 that obligation. 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 custodian to transfer them into its name for the purpose of sale, when and as directed by me. I understand that upon receiving a copy of this transfer instruction, you will cancel all open orders for my account on your books.

I affirm that I have destroyed or returned to you credit/debit cards and/or unused checks issued to me in connection with my securities account. I understand that you will contact me with respect to the disposition of any assets in my securities account that are non-transferable.

Primary Signature:	Date:	
Secondary Signature:	Date:	
		Medallion Signature Guarantee Program

Letter of Acceptance – To the prior custodian/Trustee: Please be advised that Apex Clearing Corporation ("Apex Clearing ") hereby accepts an appointment as successor custodian.

Successor Custodian/Trustee Authorized Signature:	Date:
Tax ID Number Successor Custodian:	Date of Trust:

**7. Letter of Authorization:** (Please complete if the type of account in Section 1 is different than Section 2.)

**To: Apex Clearing Corporation:** I hereby authorize the following transfer of assets:

**Transfer From:**

Delivering Firm: \_\_\_\_\_

Account Number: \_\_\_\_\_

Account Title: \_\_\_\_\_

**Transfer To:**

Apex Clearing Account Number: \_\_\_\_\_

Account Title: \_\_\_\_\_

Investment Representative's Name \_\_\_\_\_ Office # \_\_\_\_\_ Rep # \_\_\_\_\_

I understand this transfer constitutes a change in ownership of the assets and that the new registered account holders will have exclusive rights to the assets.

Sincerely,

**X** \_\_\_\_\_ **X** \_\_\_\_\_  
 Primary Applicant Signature Secondary Application Signature

\*\*\*Completion of this form does not guarantee acceptance by delivering Firm.

**For Broker Use Only – Transfer Instructions:**

**REGULAR MAILING INSTRUCTIONS:**

Apex Clearing Corporation c/o Broadridge  
 Attn: Imaging & Workflow Solutions  
 P.O. Box 1348  
 Brentwood, NY 11717-4627

**OVERNIGHT MAILING INSTRUCTIONS:**

Apex Clearing Corporation c/o Broadridge  
 Attn: Imaging & Workflow Solutions  
 1155 Long Island Ave  
 Edgewood, NY 11717

**DTC INSTRUCTIONS:**

#0158 Apex Clearing  
 FAO: Customer Acct #  
 (Apex accepts PTD's and PTR's)

**PHYSICAL INSTRUCTIONS:**

5dYl 7 YUf]b[ 7cfdcfUjcb  
 GYWf]hYg DfcWgg]b[  
 ' ) \$ B" GhDUi " Gfz GHY % \$\$  
 8UgZHL " +) &\$\$%

**FOREIGN SECURITIES INSTRUCTIONS:**

Euroclear: #10403  
 Reference: Apex Clearing

**GNMA INSTRUCTIONS:**

ABA: 021000018/QUICK

**TAX ID#:**

13-2967453

**NSSC INSTRUCTIONS:**

NSSC# 0158 Apex Clearing

**FNMA/FREDDIES/USTREAS INSTRUCTIONS:**

ABA 021000018  
 Bank of New York/QUICK

**AGENT ID/INSTITUTIONAL:**

89331

**CREST SECURITIES:**

Apex Clearing Corporation  
 Crest ID 82XHX

**ALTERNATIVE INVESTMENTS RE-REGISTRATION:**

Apex Clearing Corp. c/o Broadridge  
 Attn: Alternative Investments Dept.  
 1%) @b[ -gUbX 5j Y  
 9X[ Yk ccXz NY 11+%

**INCOMING WIRE INSTRUCTIONS:**

BMO Harris Bank  
 111 W Monroe St  
 Chicago, IL 60603  
 ABA:071000288  
 SWIFT: HATRUS44  
 Apex Clearing  
 Acct 3713286  
 FFC: Customer Name and BPS A/C #

**MUTUAL FUND RE-REGISTRATION**

Apex Clearing c/o BPO  
 2 Gateway Center  
 16th floor  
 283-299 Market St.  
 Newark, NJ 07102-5005  
 Attn: Account Transfer Dept.

**CHECKS (mail overnight or delivery)**

Apex Clearing c/o BPO  
 2 Gateway Center  
 16th floor  
 283-299 Market St.  
 Newark, NJ 07102-5005  
 Attn: Banking Dept.