

# DIRECT ROLLOVER/ IRA TRANSFER EXAMPLE

## CUSTOMER ACCOUNT TRANSFER REQUEST



**Webull**  
Webull Financial LLC

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

DATE 01/01/2021

YOUR ACCOUNT INFORMATION	
ACCOUNT TITLE JOHN DOE	
APEX CLEARING ACCOUNT NO. 5XX12345	SSN/TAX ID NO. 123456789
<small>Please attach a copy of your most recent statement for the account you are transferring to Apex.</small>	

TRANSFERRING ACCOUNT INFORMATION			
ACCOUNT TITLE JOHN DOE		BROKER CLEARING NO.	
ACCOUNT NO. ACCT # AT DELIVERING FIRM		NAME OF FIRM DELIVERING FIRM NAME	
FIRM ADDRESS DELIVERING FIRM ADDRESS	CITY DELIVERING FIRM	STATE DELIVER FIRM	ZIP 12345
<small>If your Apex Clearing account is not the same type of account as the one you are transferring, you must complete the Letter of Authorization section.</small>			

TRANSFER TYPE	
<input type="checkbox"/> BROKERAGE FIRM TRANSFER <i>(Transfer all assets in kind)</i>	<input type="checkbox"/> NON-ACAT TRANSFER <i>(Transfer all assets in kind)</i>
<input checked="" type="checkbox"/> LIQUIDATE ALL ASSETS & TRANSFER AS CASH	<input type="checkbox"/> LIQUIDATE ANNUITY & TRANSFER AS CASH
<input type="checkbox"/> PARTIAL TRANSFER <i>(Skip to Partial Transfer section)</i>	<input type="checkbox"/> LIQUIDATE CERTIFICATES OF DEPOSIT IMMEDIATELY <i>(I am aware of &amp; acknowledge the penalty for early withdrawal)</i>
<input type="checkbox"/> MUTUAL FUND COMPANY TRANSFER <i>(Skip to Mutual Fund Company Transfer section)</i>	<input type="checkbox"/> TRANSFER PROCEEDS OF CERTIFICATES OF DEPOSIT AT MATURITY <i>(Submit transfer request 30 days prior to maturity)</i>

PARTIAL TRANSFER <small>(Please specify the assets you wish to transfer, Attach additional pages if necessary)</small>		
QUANTITY	ASSETS DESCRIPTION/SYMBOL	TRANSFER <small>(Select One)</small>
		<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

MUTUAL FUND COMPANY TRANSFER <small>(Use a separate form for each Mutual Fund Company)</small>						
NAME OF FUND COMPANY						
FUND NAME/SYMBOL/CUSIP	TRANSFER	FUND ACCOUNT NO.	# OF SHARES	FUTURE DIVIDEND	FUTURE CAPITAL GAINS	
	<input type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate			<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"/> 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"/> 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"/> Reinvest <input type="checkbox"/> Pay In Cash	<input type="checkbox"/> Reinvest <input type="checkbox"/> Pay In Cash	

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## CUSTOMER ACCOUNT TRANSFER REQUEST

<b>SIGNATURE(S)</b> <i>(Please read and sign below)</i>		MEDALLION SIGNATURE GUARANTEE PROGRAM
<p>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.</p> <p>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.</p> <p>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.</p>		
<b>PRIMARY SIGNATURE</b> ➡	<b>DATE</b>	
<b>SECONDARY SIGNATURE</b> ➡	<b>DATE</b>	

<b>LETTER OF AUTHORIZATION</b> <i>(Please complete if the type of account in "Your Account Information" is different than the information in "Transferring Account Information")</i>	
To: <b>Apex Clearing Corporation</b> – I hereby authorize the following transfer of assets:	
<b>TRANSFER FROM:</b>	DELIVERING FIRM NAME
	ACCOUNT NO.
	ACCOUNT TITLE
<b>TRANSFER TO:</b>	APEX CLEARING ACCOUNT NO.
	ACCOUNT TITLE
	RECEIVING FIRM NAME
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.	
<b>PRIMARY SIGNATURE</b> ➡	<b>DATE</b>
<b>SECONDARY SIGNATURE</b> ➡	<b>DATE</b>
<b>Completion of this form does not guarantee acceptance by delivering firm.</b>	

To the prior Custodian/Trustee: Please be advised that Apex Clearing Corporation ("Apex") hereby accepts an appointment as successor custodian.		<b>OFFICE USE ONLY: LETTER OF ACCEPTANCE</b>	
<b>SUCCESSOR CUSTODIAN/TRUSTEE AUTHORIZED SIGNATURE</b> ➡	<b>DATE</b>		
<b>SUCCESSOR CUSTODIAN TAX ID NO.</b>	<b>DATE OF TRUST</b>	<b>FOR BROKER USE ONLY – TRANSFER INSTRUCTIONS</b>	
<b>REGULAR MAILING INSTRUCTIONS:</b> Apex Clearing Corporation c/o Broadridge Attn: Imaging & Workflow Solutions P.O. Box 1348 Brentwood, NY 11717-4627	<b>GNMA INSTRUCTIONS:</b> ABA: 021000018/QUICK <b>TAX ID NO#</b> 13-2967453		<b>INCOMING WIRE INSTRUCTIONS:</b> BMO Harris Bank 111 W Monroe St Chicago, IL 60603 ABA: 071000288 SWIFT: HATRU544 Apex Clearing Acct 3713286 FFC: Customer Name and BPS A/C #
<b>OVERNIGHT MAILING INSTRUCTIONS:</b> Apex Clearing Corporation c/o Broadridge Attn: Imaging & Workflow Solutions 115 Long Island Ave Edgewood, NY 11717	<b>NSCC INSTRUCTIONS:</b> NSCC# 0158 Apex Clearing		<b>MUTUAL FUND RE-REGISTRATION</b> Apex Clearing c/o BPO 2 Gateway Center 16 <sup>th</sup> Floor 283-299 Market St. Newark, NJ 07102-5005 Attn: Account Transfer Dept.
<b>DTC INSTRUCTIONS:</b> #0158 Apex Clearing FAQ: Customer Acct # (Apex accepts PTO's and PTR's)	<b>FNMA/FREDDIES/US TREAS INSTRUCTIONS:</b> ABA 021000018 Bank of New York/QUICK <b>AGENT ID/INSTITUTIONAL:</b> 89331		<b>CHECKS (MAIL OVERNIGHT OR DELIVERY)</b> Apex Clearing c/o BPO 2 Gateway Center 16 <sup>th</sup> Floor 283-299 Market St. Newark, NJ 07102-5005 Attn: Banking Dept.
<b>PHYSICAL INSTRUCTIONS:</b> Apex Clearing Corporation Securities Processing 350 N. St. Paul Str, Ste 1300 Dallas, TX 75201	<b>CREST SECURITIES:</b> Apex Clearing Corporation Crest ID 82XHI		
<b>FOREIGN SECURITIES INSTRUCTIONS:</b> Euroclear: #10403 Reference: Apex Clearing	<b>ALTERNATIVE INVESTMENTS RE-REGISTRATION</b> Apex Clearing Corp. c/o Broadridge Attn: Alternative Investments Dept. 115 Long Island Ave Edgewood, NY 11717		