

## Request to Transfer Assets from an Individual to Joint Account

### Instructions

#### 1. Complete the online account application if you do not already maintain a joint account

- *Clients associated with an advisor or introducing broker should contact their advisor or broker for assistance with this step.*
- *Make sure your joint account is configured to carry the positions you intend to transfer. Use the margin and trading permissions of your individual account as a reference.*
- *Banking instructions, market data subscriptions, IB FYI settings and special program enrollments (e.g., Stock Yield Enhancement, Dividend Reinvestment, Insured Deposit Sweep, Hedge Fund Marketplace) maintained in the individual account are not transferred and will need to be reestablished in your joint account.*

#### 2. Specify transfer details

<b>From Individual Account:</b>  Account ID: <u>U8509092</u>  Account Title: <u>Ivan T Fok</u>	<b>To Joint Account:</b>  Account ID: <u>U7062688</u>  Account Title: <u>Ivan T Fok and Yifang Xie</u>
<b>Transfer Type:</b>  <input type="checkbox"/> Full <input type="checkbox"/> Partial (if partial, complete page 3)	

#### 3. Understand the transfer restrictions and conditions

- As exchanges generally prohibit transfers of listed options, futures and futures options you will need to close such positions if requesting a full account transfer or request a partial transfer of remaining positions.
- If you maintain a Reg. T margin account, your SMA balance may not be transferred from the individual to joint account. This may adversely impact your ability to enter opening orders or withdraw funds following the transfer.
- You will be responsible for cancelling pending trade orders in the individual account prior to the transfer date to prevent any executions from occurring in this account post transfer.
- Any GTC or GTD orders pending in your individual account at the time of the transfer will not be transferred to the joint account.
- If you trade during the extended trading hours session on the date of transfer your transfer may reject in part or in whole.
- Transfers will be delayed if any funds in the individual account are subject to a withdrawal or credit hold.
- If the individual account is managed by a Financial Advisor, any advisory fees not yet billed must be settled directly between you and the Advisor.
- If the individual account maintains positions in Model Portfolios, those investments will need to be moved to the Independent portion of your account by your Financial Advisor, prior to the scheduled transfer.
- If a full account transfer is specified, any deposits in transit, dividend and interest accruals will transfer to the joint account once settled. Your individual account will then be closed and cannot be reopened.
- The cost basis of transferred positions will be identical to that as reported on the activity statement for the individual account and cannot be changed. Separate tax forms will be provided for each of the individual and joint accounts subject to tax reporting. Forms will be available at year end and online via the Client Portal for both open and closed accounts.
- Hong Kong positions require a copy of a duly stamped bought/sold note (i.e., transaction note) or confirmation that a contract note was duly stamped with the Hong Kong, Inland Revenue Department to be transferred.  
<http://www.ird.gov.hk/eng/tax/sdu.htm>  
[http://www.ird.gov.hk/eng/pdf/so\\_ext\\_cir03\\_2010\\_e.pdf](http://www.ird.gov.hk/eng/pdf/so_ext_cir03_2010_e.pdf)

**4. Sign and return this form.**

- *Scan and attach to Message Center ticker or via email.*
- *Include a Government-issued identification document containing your signature (e.g., passport, Driver's License, etc.). This request will be subject to both verbal and signature verification.*
- *Once you've completed the above steps and your request has received the necessary legal and compliance approval, a communication will be sent to your Message Center informing you of the scheduled transfer date.*

## Signatures

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By signing below, you acknowledge and consent to the following as a condition for IBKR's processing of your transfer request:

1. The transfer restrictions and conditions noted above have been read and are understood.
2. The source account holder is aware that any ownership rights may be diminished as a result of this transfer request.
3. IBKR does not provide tax advice or investment guidance and is not being relied upon for information relating to any legal, tax or estate planning consequences associated with this transfer request.
4. The transfer request is in full compliance with all applicable documents and applicable law
5. To indemnify and hold IBKR and its affiliates, respective directors, officers and employees (individually and collectively an "Indemnified Party") harmless from and against any claim, loss, liability or cost or expense incurred (including, but not limited to attorney fees, tax implications, liquidations, etc.) by such IBKR Indemnified Party as a result of or arising from (i) IBKR effecting the transfer; or (ii) IBKR's reliance upon the transfer instructions, including any representations made herein.
6. That this request is subject to review and approval by IBKR, which reserves the right to deny the request for any reason in its sole discretion.

Signature of Primary Joint Account Holder	Print Name	Date
Signature of Secondary Joint Account Holder	Print Name	Date

**Partial Position Transfer Detail (use only if you have specified a partial transfer above)**

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Notes regarding partial position transfers:

1. Lot selection is not available. Partial position transfers are executed using the current tax basis declaration (LIFO, FIFO, etc.) selected on the source account.
2. Only settled positions and settled cash may be moved.

<u>Symbol</u>	<u>Position size in Originating (Source)</u> <u>Account</u>	<u>Position size to be allocated to Destination</u> <u>(End) Account #1</u>

Client's Initials \_\_\_\_\_

Date: \_\_\_\_\_