



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@firsttrade.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@firsttrade.com



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

FREE DELIVERY REQUEST FORM

DATE	
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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
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				
<i>Customer Signature</i>		<i>Joint Account Holder Signature</i>		
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:				
_____ <i>Notary Signature</i>				
FOR INTERNAL USE ONLY				
Registered Principal Approval:				
_____ <i>Print Name</i>	_____ <i>Title</i>	_____ <i>Signature</i>	_____ <i>Date</i>	
Compliance Officer Approval/Registered Principal Approval				
_____ <i>Print Name</i>	_____ <i>Title</i>	_____ <i>Signature</i>	_____ <i>Date</i>	