



## Account Transfer Form 賬戶轉移表格

您知道您可以進行線上一鍵轉戶嗎？

請準備以下資料：

- 對方公司名稱及賬戶號碼
- 同類型賬戶 - 您在對方公司現有的賬戶類型必須與您的第一證券賬戶一致

請在登入賬戶後，點擊“我的賬戶”>“存款 / 轉戶”>“資產轉移”來開始進行轉戶。

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若您以表格方式進行轉戶，請按照以下說明來填寫賬戶轉移表格：

**第一部份：Information about your account (您的第一證券賬戶資料):** 請填寫第一證券賬戶資料。

**第二部份：Information about the account you are transferring (對方公司賬戶資料)**

**第三部份：Type of Transfer (轉戶類型):** 請選擇適用之轉戶類型（共 8 種選項）。

- Brokerage Firm Transfer (Transfer all assets in kind) 直接從證券公司轉入 (實物證券的轉移, 包括賬戶內持有的全部證券以及現金)。
- Liquidate all assets and Transfer as cash 出售全部持有資產/證券, 以現金轉入。
- Partial Transfer (skip to Section 4) 部分資產轉移 (請填第4部份)。
- Mutual Fund Company Transfer (skip to Section 5) 共同基金公司轉移 (請填第5部份)。
- Non-ACAT Transfer (Transfer all assets in kind) 非ACAT 轉移 (實物證券的轉移, 包括賬戶內持有的全部證券以及現金)。
- Liquidate annuity and transfer as cash. 出售全部持有年金, 以現金轉入。
- Liquidate Certifications of Deposit IMMEDIATELY. (I am aware of and acknowledge the penalty for early withdrawal) 立即出售定期存款 (我知道並確認提前支取未到期的定存會產生罰款)。
- Transfer proceeds to Certificate of Deposit AT MATURITY (submit transfer request 30 days prior to maturity) 在定期存款到期日轉移 (需在到期日前 30 天遞交轉移申請)。

**第四部份：Partial Transfer(部份資產轉移):** 若您只要轉入部份資產，請列出所有您想要轉入的資產並選擇“Transfer in Kind 實物證券的轉移”或者“Liquidate 出售”（賣出該項資產 / 證券，以現金形式轉入）。

**第五部份：Mutual Fund Company Transfer (共同基金公司轉戶):** 若您是從共同基金公司轉入，請填寫此部份。

**第六部份：Signature(s) (簽名):** 所有賬戶持有人都必須簽名。若您是對方公司賬戶的監護人或受託人，請填寫並簽署此部份。

**第七部份：Letter of Authorization (授權書):** 若您是從對方公司的個人賬戶轉入第一證券的聯名賬戶，請填寫此部份。（簽名處需要公證）

賬戶轉移表格可以通過以下方式提交：

- 上傳文檔：登入您的賬戶，點擊客戶服務 -> 表格中心 -> 上傳檔案
- 傳真至：1-718-961-3919
- 電郵至：[transfer@firsttrade.com](mailto:transfer@firsttrade.com)



# CUSTOMER ACCOUNT

## TRANSFER REQUEST



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

DATE	
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YOUR ACCOUNT INFORMATION	
ACCOUNT TITLE	
APEX CLEARING ACCOUNT NO.	SSN/TAX ID NO.
Please attach a copy of your most recent statement for the account you are transferring to Apex.	

TRANSFERRING ACCOUNT INFORMATION			
ACCOUNT TITLE		BROKER CLEARING NO.	
ACCOUNT NO.		NAME OF FIRM	
FIRM ADDRESS	CITY	STATE	ZIP
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.			

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 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		
<i>(Please specify the assets you wish to transfer, Attach additional pages if necessary)</i>		
QUANTITY	ASSETS DESCRIPTION/SYMBOL	TRANSFER <i>(Select One)</i>
		<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					
<i>(Use a separate form for each Mutual Fund Company)</i>					
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



# CUSTOMER ACCOUNT TRANSFER REQUEST

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

<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:		
TRANSFER FROM:	DELIVERING FIRM NAME	
	ACCOUNT NO.	
	ACCOUNT TITLE	
TRANSFER TO:	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.		
PRIMARY SIGNATURE ➡		DATE
SECONDARY SIGNATURE ➡		DATE
Completion of this form does not guarantee acceptance by delivering firm.		

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>
SUCCESSOR CUSTODIAN/TRUSTEE AUTHORIZED SIGNATURE ➡	DATE	
SUCCESSOR CUSTODIAN TAX ID NO.	DATE OF TRUST	
<b>CHECKS - OVERNIGHT</b> Apex Fintech Solutions 350 North St. Paul Street Suite 1300 Dallas, Texas 75201 Attention: Banking Department	<b>GNMA:</b> ABA: 021000018/QUICK  <b>TAX ID NUMBER:</b> 13-2967453  <b>NSCC:</b> NSCC# 0158 Apex Clearing  <b>FNMA/FREDDIES/US TREASURY</b> ABA: 021000018 Bank of New York/QUICK  <b>AGENT ID/INSTITUTIONAL:</b> 89331  <b>CREST SECURITIES</b> Apex Clearing Corporation Crest ID 82XHJ  <b>ALTERNATIVE INVESTMENTS RE-REGISTRATION</b> Apex Clearing Corp. c/o Broadridge Attention: Alternative Investments Department 115 Long Island Avenue Edgewood, New York 11717	<b>INCOMING WIRE INSTRUCTIONS</b> BMO Harris Bank 111 West Monroe Street Chicago, Illinois 60603 ABA: 071000288 / SWIFT: HATRUS44 Apex Clearing - Account 3713286 FFC: Customer Name and BPS A/C #  <b>MUTUAL FUND RE-REGISTRATION</b> Apex Clearing c/o BPO 2 Gateway Center, 16 <sup>th</sup> Floor 283-299 Market Street Newark, New Jersey 07102-5005 Attention: Account Transfer Department  <b>DTC INSTRUCTIONS</b> #0158 Apex Clearing FAO: Customer Account # (Apex accepts PTD's and PTR's)  <b>FOREIGN SECURITIES INSTRUCTIONS</b> Euroclear: #10403 Reference: Apex Clearing
<b>CHECKS - REGULAR MAIL</b> Apex Fintech Solutions PO Box 133069 Dallas, Texas 75313  <b>DOCUMENTS - REGULAR MAIL</b> Apex Clearing Corporation Attention: ACATS Department 350 North St. Paul Street, Suite 1300 Dallas, Texas 75201  <b>DOCUMENTS - OVERNIGHT MAIL</b> Apex Clearing Corporation Attention: ACATS Department 350 North St. Paul Street, Suite 1300 Dallas, Texas 75201  <b>PHYSICAL CERTIFICATES</b> Apex Clearing Corporation Securities Processing 350 North St. Paul Street, Suite 1300 Dallas, Texas 75201		<b>FOR BROKER USE ONLY – TRANSFER INSTRUCTIONS</b>