Letter of Authorization -Internal Transfer

Reset Form

This form is used to transfer funds/securities internally from one brokerage account to another brokerage account at the same introducing broker dealer. This form is not intended for and will not be honored to make distributions from IRA accounts to non-IRA accounts. However, it can be used to journal from a decedent's IRA to a beneficiary's IRA.

STEP 1: ACCOUNT INFORMATION

Delivering (From) Account Number	Receiving (To) Account Number
Account Title	**Account Title**
Account Title (cont'd.)	**Account Title (cont'd.)**

ACCOUNT ACTIVITY, SUCH AS RECENT DEPOSITS OR TRADING ACTIVITY, MAY DELAY THE TRANSFER PROCESS.

FOR ALL GIFT TRANSFERS, THE DATE OF GIFT IS THE DATE THE TRANSFER IS PROCESSED.

Date of Death is Required if this transfer involves a Step Up in Cost Basis: ☐

COPY OF DEATH CERTIFICATE IS REQUIRED

STEP 2: TRANSFER INSTRUCTIONS – PLEASE SELECT TOTAL OR PARTIAL TRANSFER

☐ Total Transfer (All cash and securities)

  ☐ I am requesting to have the delivering account closed after the internal transfer occurs.

☐ Partial Transfer

  ☐ One time only (Default) ☐ Standing Instructions

  ☐ Cash – ☐ All ☐ Specify Amount $ ____________

  IRA Contributions Only ☐ Current Year ☐ Prior Year

  ☐ Securities – as described below, attach a separate signed spreadsheet if more space is needed

Number of Shares	Description/Symbol

TOTAL TRANSFERS DO NOT NEED TO LIST THE SECURITIES BELOW. ALL CASH, SECURITIES AND OR DEBIT BALANCES WILL BE MOVED.

PARTIAL TRANSFERS MUST SPECIFY SECURITIES AND/OR CASH OR DEBIT BALANCE. ATTACH ADDITIONAL PAGES IF NECESSARY.

STANDING INSTRUCTIONS ARE VALID FOR ONE YEAR FROM SIGNATURE DATE BELOW. NOT AVAILABLE FOR IRA ACCOUNTS.

CONTRIBUTIONS TO AN IRA ACCOUNT MUST BE MADE IN CASH.

Purpose of Transfer

REQUIRED FOR THIRD-PARTY TRANSFERS. THIS SECTION CAN BE SKIPPED OTHERWISE.

SIGNATURES – ALL ACCOUNT HOLDERS MUST SIGN BELOW

By affixing my signature below, I represent to Axos Clearing LLC and my brokerage firm that the information contained above is truthful and accurate, and represents my instruction.

Signature	Print Name	Date
Delivering Account Holder Signature ✘	Print Name	Date
Delivering Account Holder Signature ✘	Print Name	Date
Receiving Account Holder Signature ✘	Print Name	Date
Receiving Account Holder Signature ✘	Print Name	Date

-ALL REGISTERED OWNERS ON THE DELIVERING BROKERAGE ACCOUNT ARE REQUIRED TO SIGN THE SAME FORM.
-FOR BUSINESS AND TRUST ACCOUNTS, SEPARATE SUPPORTING DOCUMENTATION CONFIRMING THE SIGNATURE AUTHORITY FOR THE BROKERAGE ACCOUNT IS REQUIRED.
- IF A DEBIT BALANCE IS BEING TRANSFERRED THE RECEIVING ACCOUNT OWNER(S) MUST ALSO SIGN.
-CONTRIBUTIONS MADE TO AN IRA OR ROTH IRA MUST BE SIGNED BY THE IRA OR ROTH IRA ACCOUNT HOLDER.
- ALL REQUESTS INVOLVING AN IRA ACCOUNT MUST BE SUBMITTED TO THE IRA DEPARTMENT FOR PROCESSING. ALL OTHER REQUESTS GO TO MARGINS.

SIGNATURE – GENERAL PRINCIPAL SIGNATURE

General Principal	Print Name	Date
✘		