



1000 W. Fulton Market, Suite 220  
Chicago, Illinois 60607

# APEX CLEARING CORPORATION CUSTOMER ACCOUNT TRANSFER FORM

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

## 1. Information about your account:

Title of Your Account:	
tastyworks Account Number:	SSN / Tax ID:

**\*\* Please attach a copy of your most recent statement for the account you are transferring to Apex.**

## 2. Information about the account you are transferring:

Title of Your Account:	
Account Number:	Name of Brokerage Firm:

**\*\* If your tastywork account is not the same type of account as the one you are transferring, you must complete the Letter of Authorization (Section 6) on the 2<sup>nd</sup> page of this form (Joint to Individual). \*\***

## 3. Type of Transfer:

- Brokerage Firm Transfer (Transfer all assets in kind)
- Partial Transfer (Skip to Section 4)

## 4. Partial Transfer: (Please specify the assets you wish to transfer, Attach additional pages if needed)

Quantity	Assets Description / Symbol

## 5. Signature(s): (Please read and sign below)

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.

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.

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.

Primary Signature:	Date:
Secondary Signature:	Date:

**6. Letter of Authorization:** *(Please complete if the type of account in Section 1 is different than Section 2.)*

**To: Apex Clearing Corporation:** I hereby authorize the following transfer of assets:

<p><b>Transfer From:</b> Delivering Brokerage Firm: _____ Account Number: _____ Account Title: _____</p> <p><b>Transfer To:</b> tastyworks Account Number: _____ Account Title: _____ Investment Representative's Name: _____ Office # _____ Rep # _____</p> <p>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.</p> <p>Sincerely, <b>X</b> _____ <b>X</b> _____ Primary Applicant Signature Secondary Application Signature</p> <p><b>***Completion of this form does not guarantee acceptance by delivering Firm.</b></p>
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