



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

**APEX CLEARING CORPORATION**  
**Cash and/or Security Journal Request Form**

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

Delivering Account Number \_\_\_\_\_

Delivering Account Name/Title \_\_\_\_\_

Receiving Account Number \_\_\_\_\_

Receiving Account Name/Title \_\_\_\_\_

If the Receiving Account Title does not match the Delivering Account Title, the request will be considered a Third Party Transfer. Third Party Transfers must adhere to Apex's Third Party Policy.

Full Transfer of Cash and Securities? Y/N \_\_\_\_\_  
(Accrued Interest will also be transferred)

For Partial Transfers, complete the following: Cash \$ \_\_\_\_\_

Symbol/ CUSIP	Shares	Symbol/ CUSIP	Shares
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Reason for Transfer (required): \_\_\_\_\_

Customer Signature: \_\_\_\_\_

Customer Signature (Joint Account Holder): \_\_\_\_\_

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 Signature: \_\_\_\_\_

Notary Seal:

**Internal Use Only**

**Registered Principal Approval**

\_\_\_\_\_  
Name Signature Date

**Compliance Officer Approval**

\_\_\_\_\_  
Name Signature Date