

A data deve ser preenchida no formato americano com Mês/dia/ano

Em "Account Title", deverá ser preenchido com o nome conforme consta na XP Internacional.

Em Apex Clearing Account, deverá inserir o código de cliente na custodiante Apex Clearing. O código padrão é 3XP0000, esse código deve ser solicitado ao atendimento, pois ainda não temos disponível no App.

Nos campos Account Title, Account NO e Firm Address, devem ser colocados respectivamente:

Nome conforme consta na contraparte, Numero da conta na contraparte e Endereço da contraparte

Para a transferência parcial de ativos, deve ser selecionado a opção "Partial transfer". E preenchido os ativos a serem transferidos no campo "Partial Transfer" colocando a quantidade em "Quantity" e o código do ativo em "Assets description/Symbol"

OBS: Não é possível a portabilidade de frações, apenas quantidades inteiras.

CUSTOMER ACCOUNT TRANSFER REQUEST



Receiving Firm – Apex Clearing Corporation ("Apex Clearing") – Clearing #0158

DATE 07/28/2022

YOUR ACCOUNT INFORMATION

ACCOUNT TITLE
Roberto N Silva

APEX CLEARING ACCOUNT NO. 3XP0000 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 Roberto N Silva BROKER CLEARING NO. XXXX

ACCOUNT NO. 2XXX454 NAME OF FIRM Investment Bank

FIRM ADDRESS XXXXXXXXXXXXXXXXXXXXXXXX CITY New York STATE NY ZIP XXXXX

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 checked="" type="checkbox"/> PARTIAL TRANSFER <i>(Skip to Partial Transfer section)</i>	<input type="checkbox"/> LIQUIDATE CERTIFICATES OF DEPOSIT IMMEDIATELY <i>(I am aware of & 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
(Please specify the assets you wish to transfer, Attach additional pages if necessary)

QUANTITY	ASSETS DESCRIPTION/SYMBOL	TRANSFER (Select One)
10	AMZN	<input checked="" type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate
10	AAPL	<input checked="" type="checkbox"/> Transfer In Kind <input type="checkbox"/> Liquidate
10	MSFT	<input checked="" 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
(Use a separate form for each Mutual Fund Company)

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

As informações dos campos de "Transferring Account Information" devem ser solicitadas a contraparte.

Nos campos Broker Clearing NO, Name of Firm, devem ser preenchidos com o código da contraparte e nome da empresa.

Os campos City, State, ZIP, são respectivamente: Cidade da empresa, estado e código postal

Selecionar a opção "Transfer in Kind", para a portabilidade sem que seja feita a liquidação (venda) dos ativos.

Algumas corretoras solicitam o Código Clearing para a transferência. O número da XP internacional é:

Número Clearing / DTC – 0158

CUSTOMER ACCOUNT TRANSFER REQUEST

Somente é necessário assinar no campo de Signature(s) no espaço "Primary Signature".
Também é aceito assinatura digital.

SIGNATURE(S) <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-transferable.</p>	
MEDALLION SIGNATURE GUARANTEE PROGRAM	
PRIMARY SIGNATURE ☞	DATE 07/28/2022
SECONDARY SIGNATURE ☞	DATE

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LETTER OF AUTHORIZATION <i>(Please complete if the type of account in "Your Account Information" is different than the information in "Transferring Account Information")</i>	
To: Apex Clearing Corporation – 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.		OFFICE USE ONLY: LETTER OF ACCEPTANCE	
SUCCESSOR CUSTODIAN/TRUSTEE AUTHORIZED SIGNATURE ☞	DATE		
SUCCESSOR CUSTODIAN TAX ID NO.	DATE OF TRUST	FOR BROKER USE ONLY – TRANSFER INSTRUCTIONS	
CHECKS - MAIL, OVERNIGHT, OR DELIVERY Apex Clearing Corporation 350 North St. Paul Street, Suite 1300 Dallas, Texas 75201 Attention: Banking Department	GNMA: ABA: 021000018/QUICK TAX ID NUMBER: 13-2967453 NSCC: NSCC# 0158 Apex Clearing		INCOMING WIRE INSTRUCTIONS BMO Harris Bank 111 West Monroe Street Chicago, Illinois 60603 ABA: 071000288 / SWIFT: HATRU544 Apex Clearing - Account 3713286 FFC: Customer Name and BPS A/C #
DOCUMENTS - REGULAR MAIL Apex Clearing Corporation, c/o Broadridge Attention: Imaging & Workflow Solutions Post Office Box 1348 Brentwood, New York 11717-4627	FNMA/FREDDIES/US TREASURY ABA: 021000018 Bank of New York/QUICK AGENT ID/INSTITUTIONAL: 89331		MUTUAL FUND RE-REGISTRATION Apex Clearing c/o BPO 2 Gateway Center, 16 th Floor 283-299 Market Street Newark, New Jersey 07102-5005 Attention: Account Transfer Department
DOCUMENTS - OVERNIGHT MAIL Apex Clearing Corporation c/o Broadridge Attention: Imaging & Workflow Solutions 115 Long Island Avenue Edgewood, New York 11717	CREST SECURITIES Apex Clearing Corporation Crest ID 82XIV ALTERNATIVE INVESTMENTS RE-REGISTRATION Apex Clearing Corp. c/o Broadridge Attention: Alternative Investments Department 115 Long Island Avenue Edgewood, New York 11717		DTC INSTRUCTIONS #0158 Apex Clearing FAO: Customer Account # (Apex accepts PTD's and PTR's) FOREIGN SECURITIES INSTRUCTIONS Euroclear: #10403 Reference: Apex Clearing
PHYSICAL CERTIFICATES Apex Clearing Corporation Securities Processing 350 North St. Paul Street, Suite 1300 Dallas, Texas 75201			