

Supplemental FAQs

Below are answers to additional questions you might have about the transfer of your account(s) to Interactive Brokers or another broker-dealer.

How exactly do I transfer my account to a broker-dealer other than Interactive Brokers?

Request an account transfer at your brokerage of choice and provide them with:

- Your Folio brokerage account number
- Our name (Folio Investments, Inc., formerly known as FOLIOfn Investments, Inc.)
- Our clearing firm number: 0728

If the receiving broker is not ACAT-eligible (they should tell you this):

- They can submit transfer paperwork to us via fax at 703-649-6288 or email to support@folioinvesting.com.
- Non-ACAT transfer paperwork must be notarized or contain a Medallion Signature Guarantee for accounts valued greater than \$100,000.
- If the account value exceeds \$1,000,000, a Medallion Signature Guarantee is required on the Non-ACAT transfer paperwork.
- Note that if you transfer your account(s) to a broker-dealer other than Interactive Brokers, we will be forced to sell all of your fractional share positions, which may result in capital gains or losses; we will transfer the cash and whole share positions. Please consult your tax advisor.

How do I liquidate my account and withdraw my cash?

- Log in to your Folio brokerage account and sell all of your securities holdings.
- Once the trades settle and the cash withdrawal page shows that the funds are available for transfer, transfer the proceeds to your linked bank account. If you do not have an EFT linked bank account on file, you can set one up on the Transfer Money pages.
- If you wish to liquidate and close your account instead of transferring it, you may incur a taxable event when selling your securities holdings or moving funds out of a qualified retirement account. Please contact your tax advisor.

When your account shows a zero balance, please log in to your Folio Investing account and click **Settings** in the right column, then scroll down to the account and click **Close My Account** and follow the on-screen instructions to confirm that your account is closed.

Will my cost basis transfer over?

Yes, if cost basis information exists in your Folio account on January 13, 2021, it will transfer to Interactive Brokers to preserve tracking of short- and long-term capital gains/losses. Note that it may take up to two weeks after your new Interactive Brokers account is set up for such cost basis information to be available. Also note that some positions transferred from other firms to Folio over the years did not include cost basis information.

Will my Trusted Contacts transfer to Interactive Brokers?

No, you will need to set up new Trusted Contacts on the Interactive Brokers site.

Will my permissioned users transfer to Interactive Brokers?

No, you will need to setup new permissions for people to access your account at Interactive Brokers.

Will my current dividend reinvestment selections transfer to Interactive Brokers?

No, your account will not have dividend reinvestment enabled until you enable it on the Interactive Brokers site.

Will my current tax lot relief selection methods transfer to Interactive Brokers?

No, you will need to select your tax lot relief method on the Interactive Brokers site if you do not wish to use the default setting of First in First Out (FIFO).

Can I still get statements and trade confirmations from the Folio sites?

Folio Investments, Inc. monthly statements and trade confirmations will be available on the Folio sites until July 31, 2021.

What mutual funds are not transferring to Interactive Brokers?

Below is a list of the mutual funds that are held by a small number of customers at Folio that are not transferring to Interactive Brokers. See the customer notice dated December 3, 2020 for details if you hold one of these funds:

Fund Name	Fund Family	Ticker
AB BD FD INC INCOME FD ADVISO	ALLIANCE BERNSTEIN	ACGYX
AB GLOBAL BD FD INC CL A	ALLIANCE BERNSTEIN	ANAGX
AB GLOBAL THEMATIC GROWTH FD SUSTAINBLE GBL A	ALLIANCE BERNSTEIN	ALTFX
AB LARGE CAP GROWTH FD INC CL A	ALLIANCE BERNSTEIN	APGAX
AB PORTFOLIOS ALLBER CONSV A	ALLIANCE BERNSTEIN	AGRFX
AB RELATIVE VALUE FD RELATIVE VALUE A	ALLIANCE BERNSTEIN	CABDX
AB RELATIVE VALUE FD RELATIVE VLU ADV	ALLIANCE BERNSTEIN	CBBYX
AIG FOCUSED ALPHA LARGE CAP A	AIG	SFLAX
ALLIED ASSET ADVISORS FDS DJ ISLAMIC K	IMAN FUNDS	IMANX
AMERICAFIRST QUANTITATIVE FDS DEFENSV GRWTH A	AMERICAFIRST	DGQAX

AMERICAFIRST QUANTITATIVE FDS LARGE CAP SH A	AMERICAFIRST	SBQAX
ARBITRAGE FDS CL R	ARBITRAGE	ARBFX
ARIEL INVT TR APPRECIATION INV	ARIEL	CAAPX
ARIEL INVT TR ARIEL FD INV	ARIEL	ARGFX
ARTIO GLOBAL INVT FDS ABERD GBL INC A	ARTIO GLOBAL	BJBHX
ARTISAN PTRNS FDS INC MID CAP FD INV	ARTISAN	ARTMX
ARTISAN PTRNS FDS INC INTL FD INV	ARTISAN	ARTIX
ARTISAN PTRNS FDS INC INTL VAL ADV	ARTISAN	APDKX
ARTISAN PTRNS FDS INC INTL VALUE INV	ARTISAN	ARTKX
ARTISAN PTRNS FDS INC MIDCP VALU INV	ARTISAN	ARTQX
ARTISAN PTRNS FDS INC SMALL CAP FD INV	ARTISAN	ARTSX
ARTISAN PTRNS FDS INC VALUE FD INV SHS	ARTISAN	ARTLX
BNY MELLON FAMILY OF FUNDS CORE PLS A	DREYFUS / BNY Mellon	DCPAX
CALVERT SOCIAL INVT FD BALANCED FD A	CALVERT	CSIFX
COHEN & STEERS RLTY SHS INC COM	COHEN STEERS	CSRSX
COHEN STEER REAL ESTATE SEC FD CL I	COHEN STEERS	CSDIX
COMMUNITY CAP TR CCT ALT INSTL	CRA	CCMNX
COMMUNITY CAP TR INSTL SHS	CRA	CRANX
COMMUNITY CAP TR RETAIL SHS	CRA	CRATX
CROSSMARK STEWARD INTL ENHC IDX A	CROSSMARK STEWARD	SNTKX
CROSSMARK STEWARD LARGE ENHC IDX A	CROSSMARK STEWARD	SEEKX
DELAWARE HEALTHCARE FD SH INSTL CL	DELAWARE INVESTMENTS	DLHIX
DIAMOND HILL FDS STRAT INCOME I	DIAMOND HILL	DHSTX
DOMINI INVT TR IMPACT BD INV SH	DOMINI	DSBFX
DOMINI INVT TR IMPACT EQ INV SH	DOMINI	DSEFX
DOMINI INVT TR IMPCT INT EQ INV	DOMINI	DOMIX
DOMINI INVT TR SOCIAL INSTL SHS	DOMINI	DSBIX
EATON VANCE MUT FDS TR FLT RT ADVISER	EATON VANCE	EABLX
FENIMORE ASSET MGMT TR FAM VALUE FD	FAM	FAMVX
FINANCIAL INVS TR OS GW&INC INV	SEAFARER	SFGIX
FORESTER FDS INC VALUE FD	FORESTER	FVALX
FORUM FDS DEL ABST STRG INST	ABSOLUTE	ASFIX
FPA CAP FD INC COM	FPA	FPPTX
FUNDX INVT TR FUNDX CONS UPGR	FUNDX UPGRADER	RELAX
GOLDMAN SACHS TR ABS RTNTRAKR I	GOLDMAN SACHS	GJRTX
GREEN CENTY FDS BALANCED FD	GREEN CENTURY	GGBLX
GREEN CENTY FDS EQUITY FD INVS	GREEN CENTURY	GCEQX
GUGGENHEIM FDS TR MACRO OPP A	RYDEX	GIOAX
HANCOCK JOHN INV TRUST LARGE CAP CORE A	JOHN HANCOCK	TAGRX
HEARTLAND GROUP INC MID CP VAL INV	HEARTLAND	HRMDX
HEARTLAND VALUE FD INVESTOR SHS	HEARTLAND	HRTVX
HUSSMAN INVT TR STRATEGIC GRW	HUSSMAN	HSGFX
HUSSMAN INVT TR STRT INTRNTNL FD	HUSSMAN	HSIEX
IRON STRATEGIC INCOME FD	IRON	IFUNX
JOHN HANCOCK FDS III DISC VAL MCP I	JOHN HANCOCK	JVMIX

KEELEY FDS INC SMCAP DV VAL A	KEELEY	KSDVX
LEGG MASON PARTNERS EQUITY TR CLEARBRIDGE O	LEGG MASON	LCMMX
LEUTHOLD FDS INC GRIZZLY SHORT FD	LEUTHOLD	GRZZX
MARSICO INVNT FD FOCUS FD	MARSICO	MFOCX
MARSICO INVNT FD GROWTH FD	MARSICO	MGRIX
MEEDER FUNDS MUIRFIELD FD	MEEDER	FLMFX
MORG STAN US GOVT SECS TR SBI CL I	MORGAN STANLEY	USGDX
MORGAN STANLEY INSTL FD INC EMRG MKTS CL I	MORGAN STANLEY	MGEMX
MORGAN STANLEY INSTL FD TRUST INVNT GRDFXIN I	MORGAN STANLEY	MPFDX
MUTUAL FD SER TR CTLYST WARNGTN A	CATALYST/WARRINGTON	CWXAX
MUTUAL SER FD INC BEACON FD Z	FRANKLIN TEMPLETON	BEGRX
NEUBERGER BERMAN INCOME FDS NE CORE BD INVST	NEUBERGER BERMAN	NCRIX
NEW ALTERNATIVES FD COM	NEW ALTERNATIVES	NALFX
NICHOLAS EQUITY INCOME FD INC CL I	NICHOLAS FUNDS	NSEIX
NORTHERN LTS FD TR III HCM DIV PLS A	NORTHERN LIGHTS	HCMNX
NORTHERN LTS FD TR III HCM INCOME A	NORTHERN LIGHTS	HCMEY
OBERWIES FDS INTL OPPTYS FD	OBERWIES	OBIOX
PRAXIS MUTUAL FUNDS IMPACT BOND CL I	MMA PRAXIS	MIIXX
PROFESSIONALLY MANAGED PFTL TRILLIUM P21 RETL	PORTFOLIO 21 / Trillium	PORTX
PROFUNDS BIO ULTR PR SV	PROFUNDS	BIPXS
PROFUNDS BIOTECH ULTRA	PROFUNDS	BIPIX
PROFUNDS EMRG MKPRO INV	PROFUNDS	UUPIX
PROFUNDS FINL ULTRSE IN	PROFUNDS	FNPIX
PROFUNDS HLTCARE USC I	PROFUNDS	HCPIX
PROFUNDS MUT FDS MDCP VL PRO SV	PROFUNDS	MLPSX
PROFUNDS MUT FDS MID CP PRO INV	PROFUNDS	MDPIX
PROFUNDS MUT FDS SMCAP PRO INV	PROFUNDS	SLPIX
PROFUNDS PHARMA ULTR SV	PROFUNDS	PHPSX
PROFUNDS PREC MTLN SVC	PROFUNDS	PMPSX
PROFUNDS RISING OPP INV	PROFUNDS	RRPIX
PROFUNDS SEMICON ULT SV	PROFUNDS	SMPSX
PROFUNDS TECH ULTRA INV	PROFUNDS	TEPIX
PROFUNDS ULTMIDCP PRO A	PROFUNDS	UMPIX
PROFUNDS ULTRA NDQ INVS	PROFUNDS	UOPIX
PROFUNDS ULTRABEAR INVS	PROFUNDS	URPIX
PROFUNDS USGVT PLUS INV	PROFUNDS	GVPIX
RBB FD INC BP LG SH EQ INST	BOSTON PARTNERS	BPLSX
RBB FD INC SGI US LRG CAP I	SUMMIT GLOBAL	SILVX
RBC FDS TR COM ACCD INVS	RBC FUNDS TRUST	ACCSX
RBC FDS TR IMPACT BD FD I	RBC FUNDS TRUST	RIBIX
RMB INVS TR RMB MENDON FINL	RMB	RMBKX
RYDEX SER FDS CONSUMR PROD A	RYDEX	RYPDX
SCHWAB INVTS U S AGR IDX FD	SCHWAB	SWAGX
SEGALL BRYANT HAMILL TR PLUS BD RETAIL	SEGAL BRYANT & HAMILL	WTIBX
SOUND SHORE FD INC INV CL	SOUND SHORE	SSHFX

TOUCHSTONE STRATEGIC TR MIDCP GWTH A	TOUCHSTONE	TEGAX
TOUCHSTONE STRATEGIC TR SMALL CO FD CL A	TOUCHSTONE	SAGWX
TWEEDY BROWNE FD INC GLOBAL VALUE	TWEEDY BROWNE	TBGVX
UNIFIED SER TR APPLESEED FD	APPLESEED	APPLX
VALUE LINE ASSET ALLOCATION FD VAL ASS ALLO INV	VALUE LINE	VLAAX
VALUED ADVISERS TR LS OPRTY FD INST	VALUE LINE	LSOFX
VANGUARD CHESTER FDS TARGET RTMT INV	VANGUARD	VLXVX
VICTORY FUNDS SOPHUS EMRG MK A	VICTORY	GBEMX
VOYA MUT FDS RUSSIA FD CL A	VOYA	LETRX