

Problem

Customers believe they can transfer securities from another firm to a managed portfolio account and interact with these securities like the securities held in their self-directed account they funded with cash. How do we inform users that we liquidate the securities they transfer, then invest those securities based on the portfolio they chose?

Invest Transfers Screen

Dashboard Trading Investment Accounts Managed Portfolios Research Tools QuickTrade

Ally Invest | Investment Transfers

TRANSFERS

- Bank Transfers
- Wire
- Check
- From Another Firm**
- Between Ally Invest Accounts

MANAGE

- Activity
- Manage Other Accounts

Transfer From Another Broker

We'll credit your transfer fees up to \$150 when you complete your first account transfer for \$2,500 or more.

Important things to note before you begin your transfer:

- The account type you're transferring (e.g. individual, joint, IRA) has to match your Ally Invest account type
- You need to remove all foreign, penny and worthless securities

Do you want to transfer a portion of your account or all of it?

Full Partial

Get Started

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TRANSFER FROM ANOTHER BROKER

Step 1 of 4

What Ally Invest account are you transferring to?

ACCOUNTS

Select

Next

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TRANSFER FROM ANOTHER BROKER

Step 1 of 4

What Ally Invest account are you transferring to?

ACCOUNTS

Managed Portfolio (Individual) ●● 100% ▼

You're transferring securities into a Managed Portfolio, so we'll automatically sell them and invest the money in the portfolio you chose. Before making a transfer, review the account you're transferring from for any restrictions or tax implications.

Next

Ally Community Security Privacy Legal

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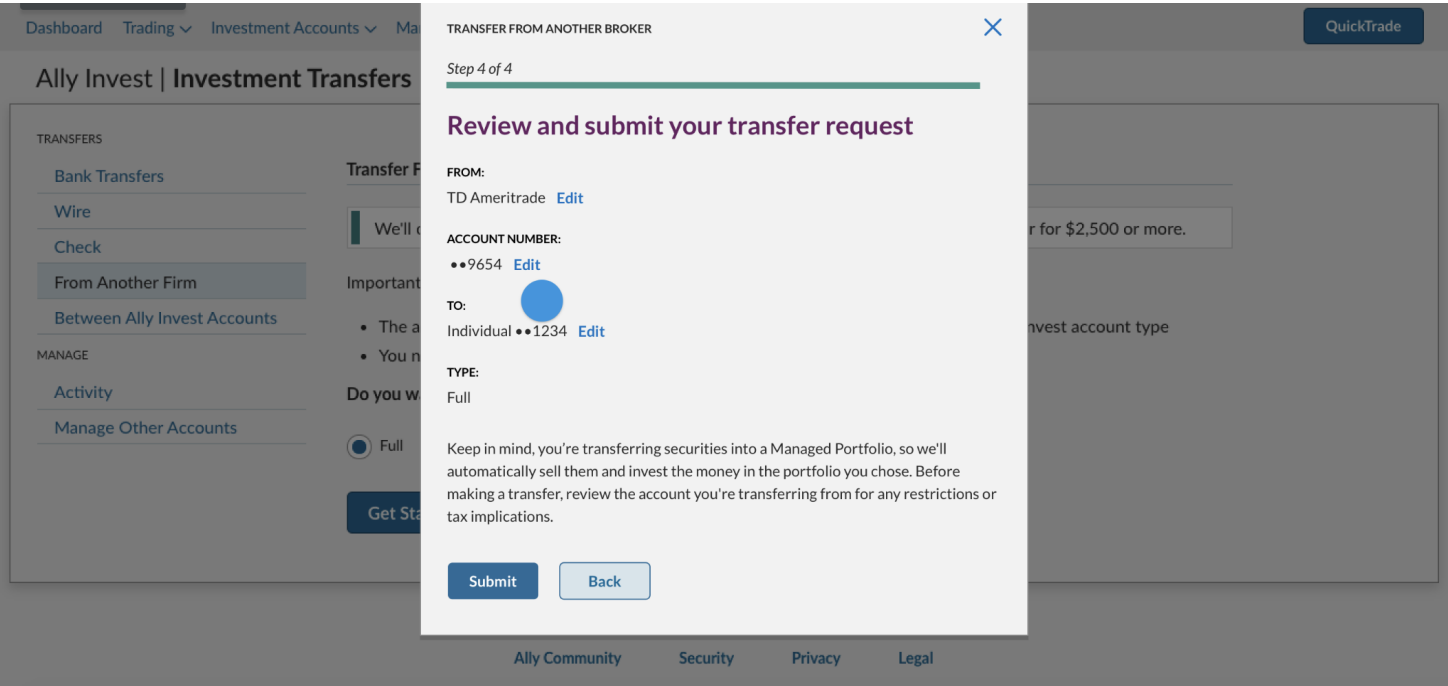
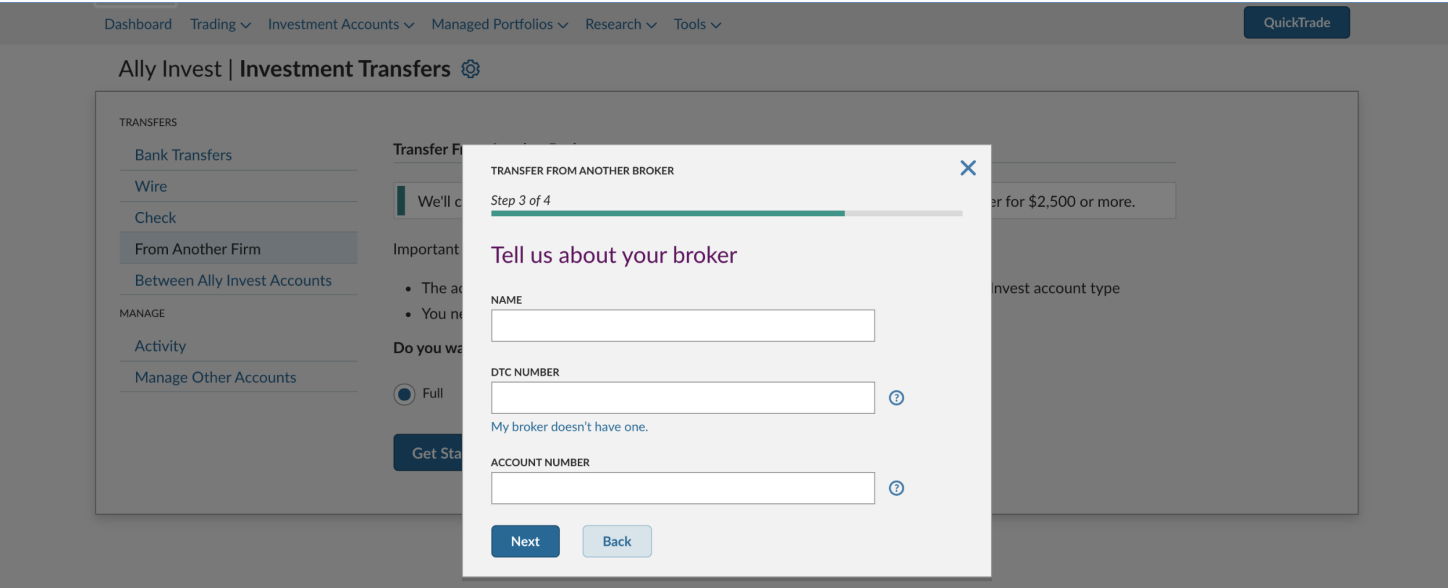
TRANSFER FROM ANOTHER BROKER

Step 2 of 4

What broker are you transferring from?

Search for a broker

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Ally Invest | Investment Transfers

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 **You submitted a transfer request.**

Complete a first-time transfer for \$2,500 or more and we'll credit your other broker's transfer fees up to \$150. Fill out the [reimbursement form](#) and submit it to us. We'll credit your account within 30 days of receiving it. We don't credit termination or maintenance fees.

REQUEST ID:
6749365617

FROM:
TD Ameritrade

ACCOUNT NUMBER:
●●9654

TO:
Individual ●●1234

TYPE:
Full

[View Activity](#)

Fund Your Account

Now that you've given us your information, it's time to fund your account.

Ally Invest Managed Portfolio Account 90505417

Review and submit your transfer request

TYPE:

Full

FROM:

TD Ameritrade [Edit](#)

ACCOUNT NUMBER:

●●9654 [Edit](#)

Keep in mind, you're transferring securities into a Managed Portfolio, so we'll convert your holdings into cash before we reinvest them. Before making a transfer, review the account you're transferring from for any restrictions or tax implications.

[Submit](#)

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Ally Invest Managed Portfolios

Goal-based portfolios, hand-selected by (human) specialists and monitored with the latest smart technology. Start investing with just \$100

You are applying for an **Ally Invest Securities** brokerage account.

FAQs

[Is there an account minimum?](#)

[How are my accounts protected?](#)

[Where can I review all Ally Invest disclosures?](#)

[If I'm not a U.S. citizen, can I still open an account?](#)

[Can U.S. citizens living abroad open an Ally Invest account?](#)

You can also [choose another way to fund](#) your account. If you're not ready to fund your account, you can come back later to fund it after you [create your username and password](#).