

Forward To: First Trust Retirement, c/o DST Systems, Inc.

Regular Mail
 PO Box 219476
 Kansas City, MO 64121-9476
First Trust Retirement
Customer Service: 855-387-3847

Overnight Delivery
 Mail Stop: CION Investments
 430 West 7th Street
 Kansas City, MO 64105-1407

Please Print or Type

IMPORTANT INFORMATION:

Please check with your current custodian for their Transfer/Rollover Requirements.

Step 1: NAME & ADDRESS

| | | |
|----------------|------------------------|---|
| IRA Owner Name | Social Security Number | Existing FTR Account Number (If applicable) |
| Address | City / State / Zip | Phone Number |

Step 2: CURRENT CUSTODIAN NAME & ADDRESS

Funds are staying with First Trust Retirement as Custodian, changing investments only. (Please provide investment name & account number.)

| | | |
|--|--|--|
| Current Custodian Name | Current Custodian Phone Number | Current Investment Name/Fund Number |
| Current Custodian Address- <i>Physical Address Required for Overnight Delivery</i> | | City / State / Zip |
| Fax Number | <input type="checkbox"/> Transfer/Rollover Request Form is acceptable to fax to resigning custodian. | Current Custodian Account Number to be transferred |

Please include a copy of your current statement.

Step 3: TYPE OF TRANSFER/ROLLOVER

- Transfer from Traditional IRA
 - Transfer from SEP IRA
 - Transfer from Roth IRA
 - Rollover from a Qualified Plan, SIMPLE IRA, 401(k), 403(b) or Profit Sharing Plan*
 *Your employer may require additional forms to process your request.
 - Custodian specific form included. FTR will include with the Letter of Acceptance sent to resigning custodian. (This alerts FTR to include required additional documentation.)
- Are any of these funds/assets from an Inherited Account?
 Yes No

Step 4: TRANSFER INSTRUCTIONS TO CURRENT CUSTODIAN (check all that apply)

If a check needs to be issued, please issue the check payable to First Trust Retirement.

Transfer of Assets

Select this option for a transfer of the assets and/or cash listed in Step 2, by moving assets out of the current investment and deliver them either to First Trust Retirement (FTR) as a new custodian OR staying with FTR and changing investments.

Amount to Liquidate: All Partial liquidation of \$ _____

Transfer in Kind

Select this option for a Transfer in Kind from the account listed in Step 2 that will change the custodian to FTR only, and leave the IRA assets within the current investment.

Amount to Transfer: All Partial transfer of \$ _____

Cash proceeds to liquidate* (If applicable) All Partial transfer of \$ _____

**Only select the cash proceeds option, if you wish the resigning custodian to liquidate additional cash, as well as honor the Transfer in Kind.*

Existing FTR Undirected Cash Account

Select this option to transfer cash funds from the existing FTR Undirected Cash Account and deposit into a new investment remaining with FTR as Custodian

Amount to Liquidate: All Partial transfer of \$ _____

Step 5: SIGNATURE REQUIRED

| | | |
|------------------------------|---------------|--|
| _____ IRA Owner Signature | _____ Date | _____ Medallion Signature Guarantee if required by Current Custodian Listed in Step 2 |
|------------------------------|---------------|--|

FOR INTERNAL USE ONLY

Acceptance of Rollover/Transfer/Conversion by First Trust Retirement:

By:
 First Trust Retirement Authorized Signature

Date

