# TRANSFER/ROLLOVER REQUEST FORM

FIRST TRUST RETIREMENT

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

*Regular Mail*
PO Box 219001
Kansas City, MO 64121-9001
855-387-3847

*Overnight Delivery*
Mail Stop: CNL
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- *Physical Address Required for Overnight Delivery* | City / State / Zip

Fax Number | ☐ 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

Are any of these funds/assets from an Inherited Account?
☐ Yes ☐ No

☐ 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.*)

## *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

3/2017

***Specific details and guides for all FTR forms, and how to complete them, can be located in Guides & Forms at www.firsttrustretirement.com***