

Please Print or Type

IMPORTANT INFORMATION:

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

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

Regular Mail

PO Box 219923
Kansas City, MO 64121-9923
877-940-8777

Overnight Delivery

Mail Stop: Colony NorthStar
430 West 7th Street
Kansas City, MO 64105-1407

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
 - 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.

Amount to Liquidate: All Partial transfer of \$ _____

Step 5: SIGNATURE REQUIRED

IRA Owner Signature Date Medallion Signature Guarantee
Only obtain 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 _____

