

**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 219065  
 Kansas City, MO 64121-9065  
 855-387-3847

Overnight Delivery  
 Mail Stop: Cottonwood  
 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	<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
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**FOR INTERNAL USE ONLY**

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

By: [Signature]  
 First Trust Retirement Authorized Signature

\_\_\_\_\_  
 Date

