

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

Regular Mail  
PO Box 219097  
Kansas City, MO 64121-9097  
855-387-3847

Overnight Delivery  
Mail Stop: Stira  
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
  - 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: [Signature]  
First Trust Retirement Authorized Signature

\_\_\_\_\_ Date

