

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 219406
Kansas City, MO 64121-9406
866-418-5144

Overnight Delivery
Mail Stop: Strategic Storage
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

