

**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 219145  
 Kansas City, MO 64121-9145  
 855-387-3847

Overnight Delivery  
 Mail Stop: W. P. Carey  
 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 \_\_\_\_\_

