TRANSFER/ROLLOVER REQUEST FORM

FIRST TRUST RETIREMENT

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

Please Print or Type

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

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

Are any of these funds/assets from an Inherited Account?
☐ Yes ☐ No

☐ 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.*)

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

FOR INTERNAL USE ONLY

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

By:___ _____ _____
First Trust Retirement Authorized Signature | Date

11/2016

Specific details and guides for all FTR forms, and how to complete them, can be located in Guides & Forms at www.firsttrustretirement.com