

TRANSFER/ROLLOVER REQUEST FORM

Please Print or Type

IMPORTANT INFORMATION:

Please check with your current custodian for their

Transfer/Rollover Requirements.

Step 5: SIGNATURE REQUIRED

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

Regular Mail PO Box 219001

Mail Stop: CNL 121-9001 430 West 7th Street

Kansas City, MO 64121-9001 855-387-3847

Kansas City, MO 64105-1407

Overnight Delivery

Step 1: NAME & ADDRESS IRA Owner Name Social Security Number Existing 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** City / State / Zip Account # to be transferred Please include a copy of your current statement. Step 3: TYPE OF TRANSFER/ROLLOVER Transfer from Traditional IRA Rollover from a Qualified Plan, SIMPLE IRA, 401(k), 403(b) or Profit Sharing Plan* Transfer from SEP IRA *Your employer may require additional forms to process your request. Transfer from Roth IRA Custodian specific form included. FTR will include with the Letter of Are any of these funds/assets from an Inherited Account? Acceptance sent to resigning custodian. (This alerts FTR to include ☐ Yes ☐ No required additional documentation.) Step 4: TRANSFER INSTRUCTIONS TO CURRENT CUSTODIAN (check all that apply) Transfer Account listed in Step 2 and liquidate additional cash proceeds (If applicable). Select this option for moving assets out of the current investment, either to First Trust Retirement (FTR) as a new custodian or staying with FTR. (Issue a check payable to First Trust Retirement.) Amount to liquidate: All Partial liquidation of \$ Transfer in Kind Account listed in Step 2 and liquidate additional cash proceeds (If applicable). Select this option for a Transfer in Kind

IRA Owner Signature	Date	Medallion Signature Guarantee if required by Curren Custodian Listed in Step 2

Partial transfer of \$

Partial liquidation of \$

FOR INTERNAL USE ONLY

 $\label{lem:conversion} \textit{Acceptance of Rollover/Transfer/Conversion by First Trust Retirement:}$

By: James H. Dolbie

First Trust Retirement Authorized Signature

Date

staying with the current investment that is changing custodians only.

Amount to transfer:

Amount to liquidate:

(Issue a check payable to First Trust Retirement.)

Transfer funds from existing Undirected Cash Account.

