

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 219630  
 Kansas City, MO 64121-9630  
 855-387-3847

Overnight Delivery  
 Mail Stop: NexPoint Advisors  
 430 West 7th Street  
 Kansas City, MO 64105-1407

**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
  - 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)**

- 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 staying with the current investment that is changing custodians only. (Issue a check payable to First Trust Retirement.)  
 Amount to transfer:  All  Partial transfer of \$ \_\_\_\_\_
- Transfer funds from existing Undirected Cash Account.  
 Amount to liquidate:  All  Partial liquidation of \$ \_\_\_\_\_

**Step 5: SIGNATURE REQUIRED**

IRA Owner Signature	Date	Medallion Signature Guarantee if required by Current Custodian Listed in Step 2
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**FOR INTERNAL USE ONLY**

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

By: James F. Dobbie \_\_\_\_\_  
 First Trust Retirement Authorized Signature Date

