

TRANSFER/ROLLOVER **REQUEST FORM**



Please Print or Type

IMPORTANT INFORMATION:

Please check with your current custodian for their

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

Regular Mail

PO Box 219476

Kansas City, MO 64121-9476 First Trust Retirement

Overnight Delivery

Mail Stop: ICON Capital, LLC.

430 West 7th Street Kansas City, MO 64105-1407

Customer Service: 855-387-3847 Transfer/Rollover Requirements.

Step 1: NAME & ADDRESS		
IRA Owner Name	Social Security Nu	mber Existing Account Number (If applicable)
Address	City / State / Zip	Phone Number
Step 2: CURRENT CUSTODIAN NAME & ADDRE	SS	
☐ 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.
Are any of these funds/assets from an Inhe	erited Account?	Custodian specific form included. FTR will include with the Letter of Acceptance sent to resigning custodian. (<i>This alerts FTR to include required additional documentation</i> .)
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.		
Step 5: SIGNATURE REQUIRED	to liquidate: All	Partial liquidation of \$
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:		