

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

Regular Mail

PO Box 219079

Kansas City, MO 64121-9079

855-387-3847

Overnight Delivery

Mail Stop: IPT

430 West 7th Street

Kansas City, MO 64105-1407

Please Print or Type

**IMPORTANT INFORMATION:**

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

**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

**FOR INTERNAL USE ONLY**

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

By: James F. Dobbie  
First Trust Retirement Authorized Signature

\_\_\_\_\_  
Date

