

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

Regular Mail
PO Box 219406
Kansas City, MO 64121-9406
855-387-3847

Overnight Delivery
Mail Stop: Strategic Storage
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

