FIRST TRUST RETIREMENT

TRANSFER/ROLLOVER REQUEST UDF

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

Regular Mail
PO Box 219096
Kansas City, MO 64121-9096
855-387-3847

Overnight Delivery
Mail Stop: United Development
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

Are any of these funds/assets from an Inherited Account?
☐ Yes ☐ No

☐ 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.*)

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: _____
First Trust Retirement Authorized Signature

_____
Date