

**Please Print or Type**

**IMPORTANT INFORMATION:**

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

Forward To: First Trust Retirement, c/o SS&C

Regular Mail

PO Box 219731

Kansas City, MO 64121-9731

855-387-3847

Overnight Delivery

Mail Stop: Lincoln

430 West 7th Street

Kansas City, MO 64105-1407

**Step 1: IRA OWNER INFORMATION**

IRA Owner Name \_\_\_\_\_ Social Security Number \_\_\_\_\_ Existing FTR 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- *Physical Address Required for Overnight Delivery* \_\_\_\_\_ City / State / Zip \_\_\_\_\_

Fax Number \_\_\_\_\_  Transfer/Rollover Request Form is acceptable to fax to resigning custodian. \_\_\_\_\_ Current Custodian Account Number 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 Inherited Account?  Yes  No  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)**

*If a check needs to be issued, please issue the check payable to First Trust Retirement.*

**Transfer of Assets**

Select this option for a transfer of the assets and/or cash listed in Step 2, by moving assets out of the current investment and deliver them either to First Trust Retirement (FTR) as a new custodian *OR* staying with FTR and changing investments.

**Amount to Liquidate:**  All  Partial liquidation of \$ \_\_\_\_\_

**Transfer in Kind**

Select this option for a Transfer in Kind from the account listed in Step 2 that will change the custodian to FTR only, and leave the IRA assets within the current investment.

**Amount to Transfer:**  All  Partial transfer of \_\_\_\_\_ shares

**Cash proceeds to liquidate\* (if applicable)**  All  Partial transfer of \$ \_\_\_\_\_

*\*Only select the cash proceeds option, if you wish the resigning custodian to liquidate additional cash, as well as honor the Transfer in Kind.*

**Existing FTR Undirected Cash Account**

Select this option to transfer cash funds from the existing FTR Undirected Cash Account and deposit into a new investment remaining with FTR.

**Amount to Liquidate:**  All  Partial transfer of \$ \_\_\_\_\_

**Step 5: SIGNATURE REQUIRED**

**Medallion Signature Guarantee Below\***

*\*FTR cannot MSG without witnessing Investor's signature execution. Only obtain if required by Current Custodian Listed in Step 2.*

IRA Owner Signature	Date

**BELOW FOR INTERNAL USE ONLY**

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

By: \_\_\_\_\_  
First Trust Retirement Authorized Signature

