

RiverSource IRA Direct Rollover Form



Use this form only if you would like RiverSource to help facilitate a direct rollover of applicable assets or accounts in your Employer Sponsored Retirement Plan to a RiverSource® Traditional IRA, Roth IRA or SEP IRA. Your rollover cannot be completed until you contact your employer for the appropriate forms. (If you are establishing a new RiverSource IRA, a RiverSource IRA application must accompany this form.)

Please complete this form to add or change your distribution options.

Part 1 Investor Information *Please type or print.*

Name (First, Middle Initial, Last)

Date of Birth (MMDDYYYY)

Please check if you are changing your address of record. *Medallion signature guarantee required.*

Street address

Apt. # / Lot / Unit

City

State

ZIP

Daytime phone number

Evening phone number

Social Security Number

Part 2 Your Employer Sponsored Retirement Plan

Plan Name

Plan Type

- 401(k)
- Profit Sharing/Money Purchase Plan
- 403(b)
- Other (specify)

Name of Transferor, Trustee, Custodian or Employer

Contact Person or Department

Phone Number

Street Address

City

State

Zip



• Signature page 2

For assistance completing this form, please contact a representative at 1 (800) 221-2450, Monday through Friday, 7:00 a.m. to 6:00 p.m. Central time.

Part 3 Where to Invest Your Eligible Rollover Distribution

- Open a new account (Please attach completed RiverSource IRA application.)
- Invest in my existing RiverSource IRA Account

Fund Name	Fund Number†	Account Number	Amount	Or Percent*

* Whole percents only.
 † Please refer to your RiverSource IRA application or account statement for Fund numbers.

- I am 70½. The Internal Revenue Service (IRS) requires you to withdraw an annual Required Minimum Distribution (RMD) from your IRA(s) (Roth IRA(s) excluded) once you attain age 70½. If you have more than one IRA, you can add together all of your RMD amounts and withdraw the total amount from any of your Individual Retirement Accounts. If you do not annually withdraw the total RMD amount from your Individual Retirement Account(s), the IRS can impose a 50% penalty tax on the RMD amount that should have been withdrawn. Please contact RiverSource for the appropriate distribution forms so that you may start or continue to receive your required minimum distributions. To request distribution forms, contact a representative at the telephone number listed below.

Part 4 Direct Rollover Authorization

Please make all checks payable to State Street Bank and Trust Company FBO (Account Holder's Name) IRA.

The undersigned certifies to the State Street Bank and Trust Company, as accepting Custodian, that the employer retirement plan assets being transferred are an eligible rollover distribution under the Internal Revenue Code.

Investor's Signature Date (MMDDYYYY)
 X _____ _____

Medallion Signature Guarantee (If required by current Custodian/Trustee. Please contact them for their requirements.)

Name of Bank or Dealer Firm

Signature of Authorized Person (not a Notary Public) Date (MMDDYYYY)
 X _____ _____

Part 5 Custodian Acceptance

State Street Bank and Trust Company agrees to accept transfer of the above amount for deposit into the Investor's RiverSource Individual Retirement Account, and requests the liquidation and transfer of assets as indicated above. The RiverSource Individual Retirement Account is a valid IRA as described in Section 408(a) of the Internal Revenue Code.

By: Date (MMDDYYYY)
 _____ _____

Part 6 Mailing Instructions

Please return to:

Regular mail RiverSource
 c/o Boston Financial
 P.O. Box 8041
 Boston, MA 02266-8041

Overnight mail RiverSource
 c/o Boston Financial
 30 Dan Road
 Canton, MA 02021-2809

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