



# RiverSource IRA Transfer Form

Please type or print clearly and use a separate form for each company from which you are transferring assets to RiverSource.

Use this form to authorize RiverSource to initiate a direct transfer of your existing IRA to a RiverSource® IRA. (If you are establishing a new RiverSource IRA, complete and attach a RiverSource IRA Application.)

## Part 1 Investor Information *Please type or print.*

Name (First, Middle Initial, Last)		Date of Birth (MMDDYYYY)
<input type="text"/>		<input type="text"/>
<input type="radio"/> Please check if you are changing your address of record. <i>Medallion signature guarantee required.</i>		
Street address		Apt. # / Lot / Unit
<input type="text"/>		<input type="text"/>
City	State	ZIP Code
<input type="text"/>	<input type="text"/>	<input type="text"/>
Daytime phone number	Evening phone number	Social Security Number
<input type="text"/>	<input type="text"/>	<input type="text"/>

## Part 2 Type of IRA to be Transferred

<input type="checkbox"/> Traditional IRA	<input type="checkbox"/> Roth IRA	<input type="checkbox"/> SEP IRA	<input type="checkbox"/> SARSEP IRA
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## Part 3 Transfer Instructions to Current IRA Custodian or Trustee — *Must be completed.*

Current Custodian	Attention	
<input type="text"/>	<input type="text"/>	
Address		
<input type="text"/>		
City	State	ZIP Code
<input type="text"/>	<input type="text"/>	<input type="text"/>
Phone number		
<input type="text"/>		

**Part 3** Transfer Instructions to Current IRA Custodian or Trustee (continued)

**Current Investment** Please transfer to my RiverSource IRA. Minimum \$1,000 transfer per fund.

Mutual Funds

Fund name	Account number	Partial liquidation	Full liquidation	Transfer-in-kind*
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	<input type="text"/>

**Annuity**

Account number

Surrender the above referenced annuity contract(s) and forward proceeds in cash to my RiverSource IRA.

**Certificate of Deposit** — *This form must be received at least 4 weeks prior to maturity date.*

Account number

Maturity date (MMDDYYYY)

Liquidate all **or**  liquidate part (\$ ) of the certificate of deposit above and transfer the proceeds to my RiverSource IRA  immediately **or**  at maturity.

Other (list type of investment) \_\_\_\_\_

Liquidate the above referenced account and forward proceeds in cash to my RiverSource IRA.

*\*Please note, only RiverSource Funds are eligible to be transferred-in-kind.*

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

**Part 4** Investment Instructions — Check all that apply. **Must be completed.**

*The minimum initial investment is \$1,000 per fund.*

- Open a new account. *(Please attach completed RiverSource IRA Application.)* Invest as instructed below.
- Invest in my existing RiverSource IRA Account. Invest as instructed below.
- Transfer-in-kind. I am requesting a transfer of assets from a brokerage firm or bank IRA which is presently invested in RiverSource Funds.

Fund name	Existing account number	Amount
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>

## Part 5 Investor(s) Authorization

- I am over 70½. The Internal Revenue Service (IRS) requires you to withdraw an annual Required Minimum Distribution (RMD) from your IRA(s) (Roth IRAs excluded) once you obtain 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, call a representative at the telephone number listed below.

**Affix Medallion Guarantee  
Stamp Here.**

Investor's signature

Date (MMDDYYYY)

X

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

The undersigned certifies to the State Street Bank and Trust Company, as accepting Custodian, that the IRA from which the assets are being transferred meets the requirements of Internal Revenue Code Section 408(a), 408(k), 408(p) or 408A (as the case may be).

Signature of authorized person (not a Notary Public)

Date (MMDDYYYY)

X

## Part 6 Custodian Acceptance

State Street Bank and Trust Company agrees to accept transfer of the above amount for deposit into the RiverSource Individual Retirement Account, and requests the liquidation and/or 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.

Date (MMDDYYYY)

By:

## Part 7 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

