IRA/Keogh Request for Custodial Transfer or Traditional IRA to Roth IRA Conversion to Ameriprise Financial Services, Inc.

CASH ONLY... CUSTODIAL PRODUCTS AND ANNUITIES

This form MUST be sent to the corporate office for approval. We will forward the request to the distributing institution. On receipt of the check, we will apply the proceeds as requested on the form.

You must follow this procedure as it will help ensure the proper application of funds and tax reporting.

Instructions for Completing This Form

- 1. Complete this section based on the owner (taxpayer) of the plan.
- 2. List the complete name and address of the current custodian along with the telephone number.
- 3. List product code or the account number, if available, along with the corresponding dollar amount to be applied to each account. Do not use percentages.
- 4. Check the appropriate box to indicate the type of plan you are transferring from and to. Non-reportable transfers involve like plans; e.g., Rollover IRA to Rollover IRA, Roth Contributory IRA to Roth Contributory IRA, or Keogh to Keogh. A transfer from a traditional IRA to a Roth IRA is a conversion, and is reportable to the IRS.
- 5. Check the appropriate box to indicate whether you are converting a Regular (active) IRA or a Segregated (rollover) IRA to the Roth Conversion IRA. (SEP IRAs and SIMPLE IRAs cannot be converted.)
- 6. Indicate the full registration of the current plan. e.g., Ameriprise Trust Company, custodian of the Mary Jones 1998 Roth Conversion IRA.
- 7. This is a cash only transaction. Proprietary and non-proprietary limited partnerships are not offered in a Roth IRA.
- 8. Do not cross out the corporate office address and write in another address. Have the owner sign and date the form.
- 9. The advisor should not sign to accept for Ameriprise Trust Company. The form must be signed by a registered assistant secretary in the corporate office.

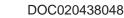
	TRANSFER INFORMATION	
Plan type you now have	Plan type you are transferring to at Ameriprise Financial (AMPF)	Is this transaction taxable to you and reportable to the IRS?
Regular IRA	Regular IRA Rollover IRA ⁽¹⁾ SEP IRA ⁽²⁾	No
	Roth Conversion IRA शैoth Contributory IRA ⁽⁴⁾	Yes
Rollover IRA	Rollover IRA Regular IRA ⁽¹⁾ SEP IRA ^{(1) (2)}	No
	Roth Conversion IRA ⁽³⁾ Roth Contributory IRA ⁽⁴⁾	Yes
SEP IRA	SEP IRA Regular IRA ⁽⁵⁾ Rollover IRA ^{(1) (5)}	No
SIMPLE IRA	SIMPLE IRA Regular IRA ⁽⁶⁾ Rollover IRA ^{(1) (6)}	No
Beneficial IRA	Beneficial IRA	No
Roth Contributory IRA	Roth Contributory IRA Roth Conversion IRA ⁽⁷⁾	No
Roth Conversion IRA	Roth Conversion IRA ⁽³⁾ Roth Contributory IRA ⁽⁴⁾	No
Keogh plan	Keogh plan	No

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Account Number



RiverSource





1. *Caution*: Rollover IRA money from an employer-sponsored retirement plan which you anticipate rolling into another employer's retirement plan in the future should not be commingled with any other types of IRA assets as you will lose the ability to do the rollover.

2. You must be participating in an employer sponsored SEP plan.

3. *Caution*: If this transfer is to a pre-existing, **prior tax year** Roth Conversion IRA at AMPF, then this transfer will cause all the money in that pre-existing Roth Conversion IRA to pick up a new five year tracking date as of the current year. You may want to open a separate Roth Conversion IRA, rather than commingling the money.

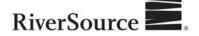
4. Only allowed if Roth Contributory IRA already exists at AMPF. *Caution:* the Roth Contributory IRA will be re-titled as a Roth Conversion IRA and all the money in the Roth Contributory IRA will pick up the 5 year tracking date of the Roth Conversion IRA. You may want to open a separate Roth Conversion IRA, rather than commingling the money.

5. Only allowed if no SEP contributions will be made to the account.

6. Only allowed after two year SIMPLE IRA holding requirement is met and no SIMPLE contributions will be made to the account.

7. Only allowed if Roth Conversion IRA already exists at AMPF. *Caution:* the Roth Contributory IRA money will upon transfer into the Roth Conversion IRA pick up the 5 year tracking date of the Roth Conversion IRA. You may want to open a separate Roth Contributory IRA, rather than commingling the money.





IRA/Keogh Request for Custodial Transfer or Traditional IRA to Roth IRA Conversion to Ameriprise Financial Services, Inc.

USE THIS FORM FOR CASH TRANSACTIONS ONLY ROU

ROUTE TO TEAM UNIT 447

Account Number		

1. Present Custodian	2. Account Registration			
Custodian Name		Client		
Address		Social Security Number Address		Age 70 ½ 🔿 Y* 🔿 N
City State Zi	ip Code	City	State	Zip Code
3. Investment Selections				
Invest the transfer proceed as follows: Transfe Existing (if avail	er Amount Account Numbe lable)	er \$ \$ \$	or Percent This Payment	If allocation % differs from that of existing investmer please check one: Allocation— This Payment Only
Annuity Allo	%, \%,	\$ \\%\$		O Permanent Allocation Change
4. Asset Transfer of Like Plans (Non-Reportable				
Type of Plan you now have: *Remove RMD before tra	• •	_		
Plan transferring to:	PLE IRA O Beneficial IF		·	onversion IRA () Keogh onversion IRA () Keogh
5. Traditional IRA to Roth Conversion IRA (Taxa		<u> </u>		oncession nation () neogn
Type of Plan you now have: *Remove RMD before con Type of plan you are converting to: Roth Conversion	nverting		IRA	
6. Current Registration				
		nsfer of Roth contributory IRA: r first Roth contribution or conversion was made for:		
Transfer of a SIMPLE IRA:	nsfer of Roth Conversion IRA:			
Year first participated in SIMPLE IRA	(Yr)	Roth Co	onversion IRA to same year	Roth Conversion IRA

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7. Liquidation In	structions		
\$ to be liquidated	Account Number/Description Check box if annuit	y \$ to be liquidated	Account Number/Description Check box if annuity
		Certificate of Deposit CLiquidate prior to m Liquidate at maturit	-
Mail Checks To (chock ana):	Approximate amount l converted \$	being transferred or
○ Ameriprise Tr	ust Company, npany Transfers, P.O. Box		Insurance Co. of New York e Financial Center Minneapolis, MN 55474
I am aware and acknowledge the penalty I will incur from any eacompany or trustee to transfer the liquidated assets and send at Company or RiverSource Life Insurance Co. of New York. Client's Signature			
8. Letter of Acce	ptance		
deposit the assets	we receive in an IRA/Keogh account for the b	enefit of the individual.	custodian of IRA/Keogh plan assets and will
•	neriprise Trust Company or RiverSource Life I	nsurance Co. of New York:	Date
X			
	EXISTING ACCOUNT STATEMENT ed O Passbook or CD Attached O Limited Partnershi ne Attached Tea	p Subscription Agreement am ID (if applicable) Area Offic	Check Attached/Do Not Send Out Form ce Phone Servicing Advisor No