DOC010438048

RiverSource Annuities

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

CASH ONLY... CUSTODIAL PRODUCTS AND ANNUITIES

Account Number

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.

Include a copy of the existing account statement, replaced policy or bank passbook, if available.

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 (3) Roth 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

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.

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RiverSource

USE THIS FORM FOR CASH TRANSACTIONS ONLY **ROUTE TO TEAM UNIT 447**

Account Number

1. Present Custodian

Custodian Name

Address

City State Zip Code

2. Account Registration

Client

Social Security Number Age 70½ ◯ Y* ◯ N

Address

City State Zip Code

3. Investment Selections

Invest the transfer proceed as follows: Existing	Transfer Amount Account Number (if available)	or Percent — This Payment	If allocation % differs from that of existing investment, please check one:
		$	◯ Allocation — This Payment Only
		$	
		$	◯ Permanent Allocation Change
Annuity Allo \ %, \ %, \ %, \ %, \ %		$	

4. Asset Transfer of Like Plans (Non-Reportable Transaction)

Type of Plan you now have: *Remove RMD before transferring (Except Roth)

◯ Regular IRA ◯ Rollover IRA ◯ SEP IRA ◯ SIMPLE IRA ◯ Beneficial IRA ◯ Roth Contributory IRA ◯ Roth Conversion IRA ◯ Keogh

Plan transferring to:

◯ Regular IRA ◯ Rollover IRA ◯ SEP IRA ◯ SIMPLE IRA ◯ Beneficial IRA ◯ Roth Contributory IRA ◯ Roth Conversion IRA ◯ Keogh

5. Traditional IRA to Roth Conversion IRA (Taxable/Reportable Transaction)

Type of Plan you now have: *Remove RMD before converting ◯ Regular IRA ◯ Rollover IRA

Type of plan you are converting to: ☐ Roth Conversion IRA for current year

6. Current Registration

Important: Full title of plan you are transferring:

Transfer of Roth contributory IRA:

Year first Roth contribution or conversion was made for:

Transfer of a SIMPLE IRA:

Year first participated in SIMPLE IRA

Transfer of Roth Conversion IRA:

(Yr) Roth Conversion IRA to same year Roth Conversion IRA

7. Liquidation Instructions

$ to be liquidated	Account Number/Description	Check box if annuity	$ to be liquidated	Account Number/Description	Check box if annuity
		☐			☐
		☐			
		☐			
		☐			

Certificate of Deposit (only one maturity date per form)

◯ Liquidate prior to maturity (immediately)

◯ Liquidate at maturity date (MMDDYYY)

Approximate amount being transferred or converted $

Mail Checks To (check one):

◯ **Ameriprise Trust Company,**
ATTN. Inter Company Transfers, P.O. Box ,
Minneapolis, MN 55440.

◯ **Service address:**
RiverSource Life Insurance Co. of New York
70500 Ameriprise Financial Center Minneapolis, MN 55474

Indicate client name, Social Security number, your account number and type of plan on all checks. Please return duplicate request with check.

I am aware and acknowledge the penalty I will incur from any early withdrawal of either certificate or passbook. I authorize the custodian, insurance company or trustee to transfer the liquidated assets and send any records or documents needed to complete the transfer to Ameriprise Trust Company or RiverSource Life Insurance Co. of New York.

Client's Signature

X

Date

8. Letter of Acceptance

Ameriprise Trust Company is qualified under applicable treasury regulations to act as custodian of IRA/Keogh plan assets and will deposit the assets we receive in an IRA/Keogh account for the benefit of the individual.

Acceptance for Ameriprise Trust Company or RiverSource Life Insurance Co. of New York:

X

Date

ENCLOSE COPY OF EXISTING ACCOUNT STATEMENT

◯ Application Attached ◯ Passbook or CD Attached ◯ Limited Partnership Subscription Agreement Attached ◯ Check Attached/Do Not Send Out Form

Servicing Advisor Name	Team ID (if applicable)	Area Office	Phone	Servicing Advisor No.