

Service address:

**RiverSource Life Insurance Co. of New York**

70122 Ameriprise Financial Center Minneapolis, MN 55474

Client Services: 1-800-504-0469 riversource.com



## Transfer of Ownership

If you are a client of Ameriprise Financial, please contact your Ameriprise financial advisor or go to [ameriprise.com/forms](http://ameriprise.com/forms) to access servicing forms.

**RiverSource Contract Number**

**All sections must be completed in order to process your request.**

**This form is for Non Qualified annuities only.**

**\*New York Regulation requires insurance companies to request supplemental ownership information.**

### Part 1 Contract Information

Name of Contract Owner

### Part 2 Transfer Information

Please check appropriate boxes and complete the following information. Transfer of ownership may result in a taxable event. Consult your tax advisor if you have questions regarding your situation.

Note: Please verify the ownership restrictions on your contract prior to making your selection. If you own a variable annuity with an optional rider, transferring ownership may impact your rider values.

- In general, if you are married you must name your spouse as either a joint owner (non-qualified contracts only) or as the sole primary beneficiary in order for them to be able to continue this contract following your death.
- If you own a variable annuity with the Guarantor Withdrawal Benefit for Life® (GWB for Life®) or SecureSource® single life benefit, transfer of ownership may result in a reset of the Annual Lifetime Payment (ALP). If the ALP will be decreased, the Benefit Impact Acknowledgement form will be required before processing will occur. If required, this form will be mailed to you or you may contact our office for assistance.
- If you own a variable annuity with the SecureSource® rider joint life benefit, transfer of ownership to anyone other than the covered spouses or their revocable trusts is not allowed.
- If you own a variable annuity with the SecureSource Stages NY® joint life benefit, transfer of ownership to anyone other than the covered spouses or their revocable trusts will terminate the rider.
- If you own a variable annuity with the SecureSource Stages NY® rider single life benefit and the covered person would change as a result of the ownership change, the rider terminates.
- If you own a variable annuity with the *SecureSource 3 NY®*, *SecureSource 4®* or *SecureSource 4 Plus®* benefit, the covered person (for joint, covered spouses) will not change and the rider will not terminate as a result of an ownership change. For single life benefit, the rider will terminate at the death of the covered person or any owner (even if the covered person is still living). For joint life benefit, the rider will terminate at the death of the last covered spouse or any owner (unless spousal continuation is chosen by a covered spouse).
- Joint ownership and joint annuitants are not allowed for annuity contracts with the *SecureSource Flex NY®* or *SecureSource Stages NY®* single life benefit.

Contact your financial professional or refer to your contract or prospectus for additional information.

**IMPORTANT: Please complete Sections 1-3 below.**

Section 1: Is the Change of Ownership due to a divorce?  Yes  No

Section 2: You hereby absolutely and unconditionally sell, transfer and convey. If no option is selected, the default is gift.

- With the intention of making a gift
- Full value received

If gifting is selected, or defaulted to, a Form 1099-R may be issued.

Generally, transfer of ownership, whether by gift or value received is a taxable event. Please consult your tax advisor.

Only RiverSource Life Insurance Co. of New York is authorized to sell insurance and annuities in New York

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Section 3:

- Transfer contract to a new owner (complete section A below)
- Add joint owner to contract (complete section B below)
- Transfer contract to a Trust (complete section C below)

A. Name of new Owner\* Relationship to annuitant

**Please proceed to the Notary Acknowledgement of Current Contract Owner section.**

B. Name of new Joint Owner (All Owners must sign on page 3 in the "Acceptance of New Contract Owner" section) Relationship to annuitant

**Please proceed to the Notary Acknowledgement of Current Contract Owner section.**

C. Name of Trust\* Name of Trustee(s)

A copy of the title page and signature page of the Trust Documents that identify the name of the trust, the date of the trust and the name(s) of the Trustee(s) must accompany this transfer request. If this is not provided, we will not be able to process this request.

**Please proceed to the Notary Acknowledgement of Current Contract Owner section.**

\* Note: If this transfer of ownership results in a trust or corporation as the new owner, you will no longer have access to your annuity contract information at riversource.com. Please remember to include a copy of the Corporate Resolution. If this is not provided, we will not be able to process this request.

**Part 3 Notary Acknowledgement of Current Contract Owner**

This form must be notarized in order to process your request.

- If this contract has been assigned as collateral, this transfer of ownership is subject to the approval of that assignment.
- No transfer of ownership will be binding upon the Company until an executed copy thereof has been received and filed at its Home Office.
- The Company is not responsible for the sufficiency or validity of this transfer of ownership.
- Subject to the approval of RiverSource Life Insurance Co. of New York, I/we absolutely and unconditionally transfer ownership of the above described annuity contract to the person(s) named and his/her successors or assigns.
- Any request for an ownership change of an account registered under UTMA/UGMA to an owner other than the former minor originally named on the account will require that the minor, who has now reached the age of majority, and the Custodian must sign below and have their signature notarized.
- The current beneficiary designation will remain in effect until changed by the new owner(s). To change the beneficiary designation, please complete the Customer Service Request form.

Signature of Assignee (if applicable) Date (MMDDYYYY)  
**X**

Signature of Current Contract Owner Date (MMDDYYYY)  
**X**

Signature of Joint Contract Owner (if any) Date (MMDDYYYY)  
**X**

**Notarization**

State of : \_\_\_\_\_ County of : \_\_\_\_\_  
On \_\_\_\_\_, 20\_\_\_\_, \_\_\_\_\_ personally appeared before me,  
*Month, Date Yr Name of Spouse*

- who is personally known to me
- whose identity I proved on the basis of \_\_\_\_\_
- whose identity I proved on the oath/affirmation of \_\_\_\_\_, a credible witness

To be the signer of the above document, and he/she acknowledged that he/she signed it.

Signature of Notary

Date (MMDDYYYY)

**X**

This notarization must include the Notary's official seal to be accepted as complete. The seal must be affixed by inked stamp imprint (preferred), or photocopyable emboss. Electronic notarizations cannot be accepted.

Notary Seal:

**Part 4 New Owner Taxpayer Identification Number and Certification**

Check appropriate box for federal tax classification (required):

- Individual/Sole proprietor Corporation**
  - C-Corporation
  - S-Corporation
- Limited Liability Company (LLC)**
  - C-Corporation
  - S-Corporation
  - Partnership
- Partnership Trust**
  - Revocable (Optional Additional Trust Detail)
  - Irrevocable (Optional Additional Trust Detail)
- Estate**
- Other** \_\_\_\_\_

Check here if owner is an Exempt Payee (defined in Form W-9 instructions) Exempt Payee code: \_\_\_\_\_

1-An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2), 2-The United States or any of its agencies or instrumentalities, 3-A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities, 4-A foreign government or any of its political subdivisions, agencies, or instrumentalities, 5-A corporation, 6-A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States, 7-A futures commission merchant registered with the Commodity Futures Trading Commission, 8-A real estate investment trust, 9-An entity registered at all times during the tax year under the Investment Company Act of 1940, 10-A common trust fund operated by a bank under section 584(a), 11-A financial institution, 12-A middleman known in the investment community as a nominee or custodian, 13-A trust exempt from tax under section 664 or described in section 4947

**Foreign Account Tax Compliance Act Reporting**

A FATCA exemption code is required for persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. If you are only submitting this form for an account you hold in the United States, no code is required

Otherwise submit IRS Form W-9 separately.

As used below, the word "I" refers to the claimant who is the taxpayer on the account.

**Under penalties of perjury, I certify that:**

1. The number shown on this form is my correct taxpayer identification number, and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below), and
4. The payee is exempt from Foreign Account Tax Compliance Act (FATCA) reporting.

**Certification instructions.**

As used below, the word "You" refers to the claimant who is the taxpayer on the account.

Check this box if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Non-U.S. persons should submit the appropriate Form W-8.

Form W-9 and Form W-8 and their instructions are available upon request or on [irs.gov](http://irs.gov).

**Part 4 Ownership Information**

**Please complete the information below for all new ownership types.**

Name of new Owner\*

Address

City, State, ZIP Code

Taxpayer Identification Number  
(Social Security Number)

Phone Number

Date of Birth

Please complete the additional information below if the new owner is a revocable trust

Name of the Grantor of Trust

Taxpayer Identification Number of the Trust

Date of the Trust

Birth Date of Grantor

**Acceptance of New Contract Owner**

- I affirm that I am at least 18 years of age and full legal age in my state of residence.
- I/we acknowledge that we will be bound by the terms of the annuity contract, as are my/our heirs, executors, administrators and successors.
- I/we acknowledge that if a joint owner is added, the current taxpayer will continue as primary taxpayer unless otherwise noted.

**The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.**

Note: This signature cannot predate the signature in the "Notary Acknowledgment of Current Contract Owner" section.

All New Owners/Fiduciaries of the contract identified in this form Must Sign Here

Date (MMDDYYYY)

X

Date (MMDDYYYY)

X

All pages must be completed to be valid.