

## Transfer of Ownership Request

Use this form to transfer ownership to another individual, custodian, or non-living entity.

### Important background information:

- Transferring ownership of a non-qualified annuity contract/life insurance policy may result in a taxable event. In this case, we will send the existing owner an "Awareness of Taxation" letter to be signed and returned prior to the transfer of ownership request being processed.
- Transferring ownership of a qualified annuity contract/life insurance policy may require a tax plan change. Please include a letter of instruction signed and dated by the authorized signer of the plan, if applicable.
- Some ownership changes may result in a loss of certain benefits and coverages. In this case, we will send the existing owner(s) an "Awareness of Benefit Changes" letter to be signed and returned prior to the transfer of ownership request being processed.
- If a qualified plan (401(k), etc.) is designated as the new owner, please provide an Entity Customer Information form and the plan paperwork reflecting the name of the plan and acting trustee(s). For annuity contracts, a Qualified Plan Acknowledgement form must also be completed.
- **Do not use this form for 403(b) contracts.** Please complete the Internal Rollover Form that can be found on our website.
- **If a trust is designated as the new owner,** please provide an Entity Customer Information form and a completed certification of trust or appropriate pages of the trust reflecting the name of the trust and acting trustee(s). For annuity contracts, a Non-Individual Ownership form must also be completed.
- **If a corporation is designated as the new owner,** please provide an Entity Customer Information form and the corporate resolution or certificate of the secretary reflecting the authorized officers. For annuity contracts, a Non-Individual Ownership form must also be completed.
- Additional required forms for some ownership changes, such as the Qualified Plan Acknowledgement form, Non-Individual Ownership form, or Entity Customer Information form can be downloaded by logging in to your account at [allianzlife.com](http://allianzlife.com).

### How to fill out this form:

- Provide the contract/policy number in Section 1.
- Existing owner(s) needs to complete applicable information in Sections 2-3.
- Existing owner(s) needs to sign and date Section 4.
- New owner(s) needs to complete applicable information in Sections 5-7.
- New owner(s) needs to sign and date Section 8.

### Section 1: Contract/policy information

\_\_\_\_\_  
Contract/policy number

### Section 2: Transfer of ownership (to be completed by existing owner(s))

Complete this section to designate the new owner(s) and to acknowledge the transfer of ownership.

#### a. New owner(s)

- As owner(s) of the above designated contract/policy I hereby absolutely assign and transfer all ownership, rights and privileges under this contract/policy to the following new owner(s):

\_\_\_\_\_  
New owner's first name/trust or corporation name (print)      MI      Last name

\_\_\_\_\_  
New joint owner's first name/trust or corporation name (print)      MI      Last name

## Section 2: Transfer of ownership (to be completed by existing owner(s)) (continued)

### b. Existing owner information

Are you a U.S. citizen?  Yes

No, which country/countries are you a citizen of? \_\_\_\_\_

Do either of the following apply to you?

Resident alien (A resident alien is a lawful permanent resident in the U.S.)

Non-resident alien (Complete IRS Form W-8BEN. A non-resident alien is a lawful temporary resident in the U.S.)

## Section 3: Certification of Taxpayer Identification Number (to be completed by existing owner(s))

If you are requesting payments as a U.S. person, the IRS requires you to agree to the following statements. If you are not a U.S. person, please complete Form W-8BEN.

Under penalties of perjury, I certify that:

1. The Taxpayer Identification Number shown on this form is correct or I am waiting for a number to be issued to me.
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 failure to report all interest or dividends, or
  - c. The IRS has notified me that I am no longer subject to backup withholding.
3. I am a U.S. person, and
4. The Foreign Account Tax Compliance Act (FATCA) code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Check the box **ONLY** if the IRS has notified you that you are currently subject to backup withholding because you failed to report interest and dividends on your tax return.

## Section 4: Existing owner acknowledgment and signatures

I understand this ownership transfer may result in a taxable event to me. We will process and record the transfer upon receipt of this completed form in good order and any other required documents.

Any collateral assignee or irrevocable beneficiary must also sign this form.

**The transfer will take effect on the date the existing owner(s) sign this Transfer of Ownership Request form.**

**Allianz Life Insurance Company of North America (Allianz) will have no liability for any actions we take or payments we make before recording the change.**

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

\_\_\_\_\_  
Existing owner's name (print)

\_\_\_\_\_  
Existing owner's signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Existing joint owner's name (print)

\_\_\_\_\_  
Existing joint owner's signature

\_\_\_\_\_  
Date

## Section 4: Existing owner acknowledgment and signatures (continued)

### Alternate signatures, if applicable

Trust:<sup>1</sup> \_\_\_\_\_ as trustee of the: \_\_\_\_\_  
Trustee's signature Trust name (printed) Date

Power of attorney:<sup>1</sup> \_\_\_\_\_ by: \_\_\_\_\_  
Contract owner's name (printed) Attorney-in-fact's signature(s) Date

Collateral assignment:<sup>2</sup> \_\_\_\_\_  
Collateral assignee name (printed) Collateral assignee signature Date

\_\_\_\_\_  
Custodial owner signature Date

\_\_\_\_\_  
Irrevocable beneficiary name (printed) Irrevocable beneficiary signature Date

\_\_\_\_\_  
Employer/plan administrator name (printed) Employer/plan administrator signature

\_\_\_\_\_  
Employer/plan administrator's title Date

<sup>1</sup> Submit Certification of Trust form or legal documents such as power of attorney paperwork.

<sup>2</sup> If the policy has a collateral assignment, this change may require a bank officer's signature. Please refer to the collateral assignment for information.

## Section 5: New owner information (to be completed by new owner(s))

- For a new owner/joint owner complete Sections A and B.
- For a new non-individual owner complete Section C.

### a. New owner

Gender:  Male  Female

\_\_\_\_\_  
New owner's first name (print) MI Last name

\_\_\_\_\_  
Date of birth Social Security Number Relationship to existing owner

\_\_\_\_\_  
Street address City State ZIP code

\_\_\_\_\_  
Mailing address (if different than above) City State ZIP code

\_\_\_\_\_  
Home phone number Cell phone number

Are you a U.S. citizen?  Yes  
 No, which country/countries are you a citizen of? \_\_\_\_\_

Do either of the following apply to you?

- Resident alien (A resident alien is a lawful permanent resident in the U.S.)
- Non-resident alien (Complete IRS Form W-8BEN. A non-resident alien is a lawful temporary resident in the U.S.)

**Section 5: New owner information (to be completed by new owner(s)) (continued)**

**b. New joint owner**

Gender:  Male  Female

\_\_\_\_\_  
New joint owner's first name (print) MI Last name

\_\_\_\_\_  
Date of birth Social Security Number Relationship to existing owner

\_\_\_\_\_  
Street address City State ZIP code

\_\_\_\_\_  
Mailing address (if different than above) City State ZIP code

\_\_\_\_\_  
Home phone number Cell phone number

Are you a U.S. citizen?  Yes  
 No, which country/countries are you a citizen of? \_\_\_\_\_

Do either of the following apply to you?

- Resident alien (A resident alien is a lawful permanent resident in the U.S.)
- Non-resident alien (Complete IRS Form W-8BEN. A non-resident alien is a lawful temporary resident in the U.S.)

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**c. New non-individual owner**

Ownership change to a corporation is not allowed for fixed annuity contracts.

\_\_\_\_\_  
New non-individual owner name (e.g., trust, corporation)

\_\_\_\_\_  
Trust date Tax Identification Number Phone number

\_\_\_\_\_  
Street address City State ZIP code

\_\_\_\_\_  
Mailing address (if different than above) City State ZIP code

## Section 6: Beneficiary designation (to be completed by new owner(s))

Complete this section to designate your beneficiaries.

- Be advised that the transfer of ownership to you does not automatically change the existing beneficiary designations.
- You are encouraged to complete this section to ensure the payment of any death benefit to your intended beneficiaries.
- Changes in this section will revoke all prior beneficiary designations.
- For annuity contracts, do not list the owner or joint owner as a beneficiary below. If there is joint ownership, then the surviving joint owner is automatically the sole primary beneficiary.
- For life insurance policies, an individual owner/joint owner, other than the insured, can be listed as the beneficiary below.
- Some beneficiary changes may result in a loss of benefits or coverages. Refer to your contract or prospectus for additional information.
- **Percentages must total 100%.** If you do not indicate the allocation percentage you would like each beneficiary to receive, the death benefit will be divided equally among surviving beneficiaries.
- If you have more than 4 beneficiaries, list them on a separate sheet signed and dated by you.
- **If no beneficiary designations are made by you, any death benefit will be payable to the surviving beneficiaries designated by the previous owner.**

a. Select one:  Primary  Contingent \_\_\_\_\_%  
Allocation percentage

\_\_\_\_\_  
First name (print) MI Last name

\_\_\_\_\_  
Non-individual beneficiary name (e.g. trust, estate, charity)

\_\_\_\_\_  
Date of birth/trust date Social Security Number or TIN Relationship to owner

\_\_\_\_\_  
Street address City State ZIP code

\_\_\_\_\_  
Mailing address City State ZIP code

\_\_\_\_\_  
Phone number Alternate phone number Email address

Gender:  Male  Female Is this beneficiary a non-resident alien?  No  Yes (Attach IRS Form W-8BEN)

**Section 6: Beneficiary designation (to be completed by new owner(s)) (continued)**

b. Select one:  Primary  Contingent \_\_\_\_\_%  
Allocation percentage

\_\_\_\_\_  
First name (print) MI Last name

\_\_\_\_\_  
Non-individual beneficiary name (e.g. trust, estate, charity)

\_\_\_\_\_  
Date of birth/trust date Social Security Number or TIN Relationship to owner

\_\_\_\_\_  
Street address City State ZIP code

\_\_\_\_\_  
Mailing address City State ZIP code

\_\_\_\_\_  
Phone number Alternate phone number Email address

Gender:  Male  Female Is this beneficiary a non-resident alien?  No  Yes (Attach IRS Form W-8BEN)

c. Select one:  Primary  Contingent \_\_\_\_\_%  
Allocation percentage

\_\_\_\_\_  
First name (print) MI Last name

\_\_\_\_\_  
Non-individual beneficiary name (e.g. trust, estate, charity)

\_\_\_\_\_  
Date of birth/trust date Social Security Number or TIN Relationship to owner

\_\_\_\_\_  
Street address City State ZIP code

\_\_\_\_\_  
Mailing address City State ZIP code

\_\_\_\_\_  
Phone number Alternate phone number Email address

Gender:  Male  Female Is this beneficiary a non-resident alien?  No  Yes (Attach IRS Form W-8BEN)

**Section 6: Beneficiary designation (to be completed by new owner(s)) (continued)**

d. Select one:  Primary  Contingent \_\_\_\_\_%  
Allocation percentage

\_\_\_\_\_  
First name (print) MI Last name

\_\_\_\_\_  
Non-individual beneficiary name (e.g. trust, estate, charity)

\_\_\_\_\_  
Date of birth/trust date Social Security Number or TIN Relationship to owner

\_\_\_\_\_  
Street address City State ZIP code

\_\_\_\_\_  
Mailing address City State ZIP code

\_\_\_\_\_  
Phone number Alternate phone number Email address

Gender:  Male  Female Is this beneficiary a non-resident alien?  No  Yes (Attach IRS Form W-8BEN)

**Section 7: Certification of Taxpayer Identification Number (to be completed by new owner(s))**

If you are requesting payments as a U.S. person, the IRS requires you to agree to the following statements. If you are not a U.S. person, please complete Form W-8BEN.

Under penalties of perjury, I certify that:

1. The Taxpayer Identification Number shown on this form is correct or I am waiting for a number to be issued to me.
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 failure to report all interest or dividends, or
  - c. The IRS has notified me that I am no longer subject to backup withholding.
3. I am a U.S. person, and
4. The Foreign Account Tax Compliance Act (FATCA) code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Check the box **ONLY** if the IRS has notified you that you are currently subject to backup withholding because you failed to report interest and dividends on your tax return.

## Section 8: Signatures (to be completed by new owner(s))

As the new owner, or as the authorized signer for the new owner, please sign your name and date below in the appropriate space. We will process and record the transfer upon receipt of this completed form and any other required documents.

**The ownership change will take effect on the date the existing owner(s) signs this Transfer of Ownership Request form provided such form is in good order.**

**Allianz will have no liability for any for any actions we take or payments we make before recording the change.**

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

\_\_\_\_\_  
New owner's name (print)

\_\_\_\_\_  
New owner's signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
New joint owner's name (print)

\_\_\_\_\_  
New joint owner's signature

\_\_\_\_\_  
Date

### Alternate signatures, if applicable

Trust:<sup>1</sup> \_\_\_\_\_ as trustee of the: \_\_\_\_\_  
Trustee's signature Trust name (please print) Date

Power of attorney:<sup>1</sup> \_\_\_\_\_ by: \_\_\_\_\_  
Contract owner's name (printed) Attorney-in-fact's signature(s) Date

Collateral assignment:<sup>2</sup> \_\_\_\_\_  
Collateral assignee name (printed) Collateral assignee signature Date

\_\_\_\_\_  
Custodial owner signature

\_\_\_\_\_  
Date

<sup>1</sup> Submit Certification of Trust form or legal documents such as power of attorney paperwork.

<sup>2</sup> If the policy has a collateral assignment, this change may require a bank officer's signature. Please refer to the collateral assignment for information.



**Please submit your form through one of the options below:**

If your contract number begins with letters (alpha), it is a variable annuity.

Life insurance policies and fixed annuity contracts do not have any letters or alpha characters.

**Email completed forms to the appropriate product area:**

fixedannuity@send.allianzlife.com

variableannuity@send.allianzlife.com

lifeinsurance@send.allianzlife.com

**OR**

**Web Upload:**

You can scan and upload your signed and completed form by logging in to your account at [allianzlife.com](http://allianzlife.com)

**OR**

**Mail – for Fixed Annuities and Life Insurance:**

**Regular mail**

Allianz Life Insurance Company of North America

PO Box 59060

Minneapolis, MN 55459-0060

**Overnight mail**

Allianz Life Insurance Company of North America

5701 Golden Hills Drive

Minneapolis, MN 55416-1297

**Mail – for Variable Annuities:**

**Regular mail**

Allianz Life Insurance Company of North America

PO Box 561

Minneapolis, MN 55440-0561

**Overnight mail**

Allianz Life Insurance Company of North America

5701 Golden Hills Drive

Minneapolis, MN 55416-1297

**OR**

**Fax:** 763.582.6002 for Fixed Annuities and Life Insurance  
763.765.7912 for Variable Annuities

**Any questions?** Call us at 800.950.1962 for Fixed Annuities and Life Insurance  
Call us at 800.624.0197 for Variable Annuities

**Have you moved?** Please log in at [www.allianzlife.com](http://www.allianzlife.com) or call us to update your address.