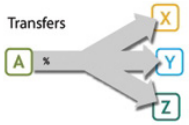
Frozen Assets Transfer Request Authorization

ACCOUNT #

Use this form to move frozen assets from an in-kind transfer into other available investment elections. NOTE: ***CDSC and other redemption fees may apply, please verify these charges before selecting this option as this transaction cannot be reversed.***

STEP 1 Transfer

(NOTE: For investments with a front-end sales charge that you wish to be purchased at NAV, you MUST check the LW box to waive the sales charge, as allowed by the fund family)



Allows you to transfer your existing balance from one investment into any other available investment choices. Your total must equal 100%. Transfers **cannot** be made between frozen assets. Only one transfer request per sheet. **This feature does not change your future contributions investment elections.**

CURRENT INVESTMENT		NEW INVESTMENTS			
Ticker	Investment Name	Ticker	Investment Name	LW	%

NOTE: You may only transfer 100% of any frozen investment, **no** partial transfers are permitted on this form.

Your total must equal 100% **TOTAL** 0

STEP 2 Investment Authorization + Signature

When you selected an investment option on this Frozen Assets Transfer Request Authorization Form, you acknowledge that you are placing a buy/sell order instructing ASPire to purchase/sell investment shares on your behalf. You acknowledge that you have received and read the prospectus for investments, made the investment decision on your own, and understand that you were and are able to make a different investment selection. You acknowledge that fees may apply from the fund family as a result of the sale. Net proceeds will be invested in new investment as completed.

You also acknowledge that the securities products purchased or sold in a transaction with ASPire (i) are not insured by the FDIC; (ii) are not deposits or other obligations of ASPire and are not guaranteed by the custodian; and (iii) are subject to investment risks, including possible loss of the principal invested.

Print Full Account Holder Name *(required)*

Social Security Number *(required)*

ACCOUNT HOLDER SIGNATURE

Date (month | day | year)

Agent Disclaimer: By submitting this trade request, you are certifying that you have been previously established as the Authorized Agent on this account, and have been granted Limited Trading Authority(LTA) by the account holder. If you are not the financial professional currently listed on this account, or do not have LTA, this trade request will not be acted upon unless the account holder also signs this request form.

AUTHORIZED AGENT SIGNATURE

Date (month | day | year)

Print Full Agent Name

Rep ID

If you provide an email address (participant or agent), ASPire will contact you via that address with regards to this trade request. If you do not provide an email address, you may contact our Client Services line at 866.634.5873

CONTACT EMAIL

Please fax the completed form to ASPire Financial Services at 813.466.7523. Forms received in good order will be processed within 5 business days. If the account structure is changing (i.e. switching from one share class to another) please allow up to an additional 10 business days.

[Revision: 07/2011]