Aston Funds

IRA TRANSFER OF ASSETS / DIRECT ROLLOVER FORM

Use this form to request an IRA transfer of assets or a direct rollover (excluding qualified rollover conversions to a Roth IRA) from an existing retirement plan account to your IRA at Aston Funds. Based on your instructions, PFPC Trust Company will initiate the transfer or rollover for you. If you are over age 70½, you are responsible for distributing any required minimum distribution amounts from your current retirement plan account (excluding Roth IRAs) in advance of the transfer or rollover. Please remember that a transfer of assets can only occur between the same types of retirement plans.

Incomplete information will result in delays in processing your request. If you need assistance completing this form, please contact Shareholder Services at 1-800-992-8151.

PARTICIPANT INFORMATION

Name: Daytime Telephone: ( )

Address:

City: State: Zip Code:

Social Security Number: Date of Birth:

INVESTMENT INSTRUCTIONS

Complete items A, B, C and D.

A. ☐ I am opening a new IRA and have attached the required IRA Application.

☐ Deposit the proceeds into my existing IRA. Account Number: _____

B. Type of account transferring into: ☐ Traditional IRA ☐ Rollover IRA ☐ SEP IRA ☐ Roth IRA

C. Invest as follows:

Fund Name: Dollar Amount $ or Percentage %

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Must equal 100%

D. Type of Request:

☐ IRA Transfer of Assets (like accounts) ☐ Direct Rollover from a Qualified Plan to an IRA ☐ Direct Rollover from a 403(b) or 457 to an IRA

DIRECT ROLLOVER NOTICE

If this contribution is a direct rollover from a qualified plan, 403(b), or 457 plan, I understand that by signing page 2 of this form, I am acknowledging that the direct rollover contribution is an irrevocable election and is no longer eligible for special tax treatment which may be accorded to distributions from a qualified plan, 403(b), or 457 plan. You may want to contact your current plan administrator or custodian to ensure that you have completed any documents they may require. If you are over age 70½, please contact your current custodian regarding the required minimum distribution rules before initiating a direct rollover. Direct rollovers from a qualified plan to an IRA can only be in the form of cash.

CURRENT CUSTODIAN AND ACCOUNT INFORMATION

Type of account you are transferring/rolling over from (check one):

☐ Traditional/Rollover IRA ☐ SEP-IRA ☐ Roth IRA ☐ 403(b) ☐ 457 Plan ☐ Qualified Plan*

*If you are rolling over a qualified plan, please contact your current plan administrator for distribution/rollover form requirements.

Please attach your most recent statement, if possible. Note, your current custodian may require a Medallion Signature Guarantee to process your transfer or rollover request. Please see the Participant Authorization section for an explanation of the Medallion Signature Guarantee.

Name of current custodian:

Address:

City: State: Zip code:

Contact name: Telephone number: ( )

1) Investment to transfer:

Account number:

☐ Liquidate Entire Account ☐ Partial Dollar Amount $ _____or # of Shares_____ ☐ Transfer In-Kind

For Certificate of Deposits: ☐ Immediately* ☐ At Maturity Date _____
MM/DD/YY

2) Investment to transfer:

Account number:

☐ Liquidate Entire Account ☐ Partial Dollar Amount $ _____or # of Shares_____ ☐ Transfer In-Kind

For Certificate of Deposits: ☐ Immediately* ☐ At Maturity Date _____
MM/DD/YY

***Note:** If you wish to have certificates of deposit transferred immediately and they have not matured, you may incur a redemption penalty. We cannot accept requests to transfer assets from certificates of deposit more than 60 days before their maturity.

PARTICIPANT AUTHORIZATION

I authorize the transfer of assets or direct rollover as noted above to my Aston Funds IRA and authorize my current custodian, Aston Funds and PFPC Trust Company to process this request on my behalf. I understand it is my responsibility to insure the prompt transfer of assets or direct rollover by the current custodian. I have read and understand all information on this form and hereby provide the applicable authorization.

Participant's Signature: Date:

Medallion Signature Guarantee Stamp and Signature (If required by your current custodian or transfer agent): An eligible guarantor is a domestic bank or trust company, securities broker/dealer, clearing agency or savings association that participates in a medallion program recognized by the Securities Transfer Agents Association. The three recognized medallion programs are the Securities Transfer Agents Medallion Program (known as STAMP), Stock Exchanges Medallion Program (SEMP), and the Medallion Signature Program (MSP). A notarization from a notary public is NOT an acceptable substitute for a signature guarantee.

Medallion Signature Guarantee

Mail to the following:

First Class Mail:
Aston Funds
P.O. Box 9765
Providence, RI 02940

Overnight Mail:
Aston Funds
4400 Computer Drive
Westborough, MA 01581
1-800-992-8151