

# IRA TRANSFER FORM



**\*If this is for a new IRA Account, an IRA Application must accompany this form**

It's easy to transfer your IRA. Simply fill out this application, completing all relevant sections, sign in ink and return to: **FundX Upgrader Funds c/o US Bancorp Fund Services, LLC, P.O. Box 701, Milwaukee, WI 53201-0701** or overnight express mail to: **FundX Upgrader Funds c/o US Bancorp Fund Services, LLC, 615 E. Michigan St. FL 3, Milwaukee, WI**

## STEP 1 Personal Information

Please print in ink.

### A Investor Information

Owner's Name

First

M.I.

Last



Social Security Number

Date of Birth (Mo/Dy/Yr)

Driver's License or State I.D. Number

State of Issue

You must indicate a residential street address. P.O. boxes are allowed only for account mailing addresses (below).

### ► Residential Street Address of Owner

Street Number

Street Name

City

State

Zip Code

Apartment, Suite, Floor

Daytime Phone

Ext.

Evening Phone

## STEP 2 Instructions to Current IRA Custodian or Plan Administrator

### A Current Account Information

Current Custodian or Plan Administrator

Please include a copy of your current account statement.

### ► Account Number

Contact Person

Contact Number

Address

City

State

Zip Code

Apartment, Suite, Floor

### B Consider this your authorization to send my IRA or my distribution from my qualified retirement plan:

All Assets

### ► OR

\$ \_\_\_\_\_ or \_\_\_\_\_ %

\*All assets will be sold immediately if no selections are made.

QUESTIONS?

For more information

1-866-455-FUND

**STEP 2** Instructions to Current IRA Custodian or Plan Administrator *(continued)*

**C** Please process this request:

Immediately

OR

At Maturity

Date (MM/DD/YYYY)

Note: There may be penalties for withdrawing certain investments before their maturity (i.e. certificates of deposit or annuities). Please contact your current custodian or plan administrator to determine the applicable penalty, if any. Please send all transfer requests **at least 3 weeks** before maturity to allow for proper time limitations.

\*Send the check representing the assets payable to the "FundX Upgrader Funds: along with a copy of this form to:

FundX Upgrader Funds  
 FBO [Shareholder Name]  
 [Account Number]  
 c/o U.S. Bancorp Fund Services, LLC  
 P.O. Box 701  
 Milwaukee, WI 53201-0701

**STEP 3** Investment Choices

**A** Please choose one of the following:

New Account - A FundX Upgrader Funds IRA Account Application must be completed to process this transfer if a new account is being established. Skip to Step 4 if choosing this option.

Existing Account - Please indicate your investment choice(s) and amount(s) in the table below.

**B** Investment Choices

Investment Amount (Select either \$ amount or % percent- Distribution Options (Select one)

| Investment Choice   | \$ Amount |  | % Percentage | Distribution Options                 |   |                                    |
|---|-----------|--|--------------|--------------------------------------|---|------------------------------------|
|   |           |  |              | Capital Gains & Dividends Reinvested | Capital Gains Reinvested & Dividends in Cash* | Capital Gains & Dividends in Cash* |
| <input type="checkbox"/> Asset Reallocation (See Step 4 on page 5)    |           |  |              | <input checked="" type="checkbox"/>  |   |                                    |
| <input type="checkbox"/> FUNDX UPGRADER FUND (FUNDX)                  | (1053)    |  |              | <input type="checkbox"/>             | <input type="checkbox"/>                      | <input type="checkbox"/>           |
| <input type="checkbox"/> First Amer. Prime Ob. Class A (Money Market) | (1054)    |  |              | <input type="checkbox"/>             | <input type="checkbox"/>                      | <input type="checkbox"/>           |
| <input type="checkbox"/> FUNDX AGGRESSIVE UPGRADER FUND (HOTFX)       | (1055)    |  |              | <input type="checkbox"/>             | <input type="checkbox"/>                      | <input type="checkbox"/>           |
| <input type="checkbox"/> FUNDX CONSERVATIVE UPGRADER FUND (RELAX)     | (1056)    |  |              | <input type="checkbox"/>             | <input type="checkbox"/>                      | <input type="checkbox"/>           |
| <input type="checkbox"/> FUNDX FLEXIBLE INCOME FUND (INCMX)           | (1057)    |  |              | <input type="checkbox"/>             | <input type="checkbox"/>                      | <input type="checkbox"/>           |
| <input type="checkbox"/> FUNDX STOCK UPGRADER FUND (STOCX)            | (1058)    |  |              | <input type="checkbox"/>             | <input type="checkbox"/>                      | <input type="checkbox"/>           |
| <input type="checkbox"/> FUNDX ETF UPGRADER FUND (REMIX)              | (1959)    |  |              | <input type="checkbox"/>             | <input type="checkbox"/>                      | <input type="checkbox"/>           |
| <input type="checkbox"/> FUNDX ETF AGGRESSIVE UPGRADER FUND (UNBOX)   | (1960)    |  |              | <input type="checkbox"/>             | <input type="checkbox"/>                      | <input type="checkbox"/>           |
| <input type="checkbox"/> FUNDX TACTICAL UPGRADER FUND (TACTX)         | (1961)    |  |              | <input type="checkbox"/>             | <input type="checkbox"/>                      | <input type="checkbox"/>           |

Total: \$  % 100%

If nothing is checked, all distributions will be reinvested.  
 \* Unless otherwise indicated, cash distributions will be mailed to the address in Section 2.

QUESTIONS? For more information

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STEP 4 Age 70½ Information

- Check one of the following:**
- I am under the age of 70½ and do not turn 70½ at anytime during the calendar year
  - OR
  - I am age 70½ or older and understand that no part of my required minimum distribution is eligible transfer or rollover. I further understand that there may be significant tax penalties if a transfer or rollover of my required distribution occurs.

STEP 5 Conversion of Traditional IRA to Roth IRA

- Check here if you are distributing assets from a Traditional IRA with the intention of establishing a Roth IRA.

STEP 6 Signature of Certification

I certify that I have established an IRA with the FundX Upgrader Funds, of which U.S. Bank, NA, is the Custodian. I agree to contact my present Custodian from whom I am transferring to determine if specific documentation or a signature guarantee is required. I understand that I am responsible for determining my eligibility for all transfers or direct rollovers. I agree to hold the Custodian harmless against any and all situations arising from an ineligible transfer or direct rollover. I acknowledge that the Custodian or its agent cannot provide legal advice and I agree to consult with my own tax professional for advice.

I authorize U.S. Bancorp Fund Services, LLC, to act on my behalf in contacting the current custodian or plan administrator to facilitate the transfer of assets.

|   |  |
|---|--|
| X |  |
|---|--|

Signature of Owner\*

|  |
|--|
|  |
|--|

Today's Date (MM/DD/YYYY)

Print Name of Owner

|   |  |
|---|--|
| X |  |
|---|--|

Signature Guarantee\* (For transfer from another custodian)

|  |
|--|
|  |
|--|

Today's Date (MM/DD/YYYY)

**Important:** Please contact your current Custodian to determine if a signature guarantee\* is required.

\* A signature guarantee may be obtained from any eligible guarantor institution, as defined by the Securities and Exchange Commission. These institutions include banks, savings associations, credit unions, and brokerage firms. The words "SIGNATURE GUARENTEED" must be stamped or typed near each of your signatures being guaranteed. The guarantee must appear with the printed name, title, and signature of an officer and the name of the guarantor institution. Please note that a Notary Public Seal or Stamp is not acceptable.

STEP 7 Acceptance / Custodian Authorization

U.S. Bank, NA, herby accepts its appointment as Custodian of the above IRA account and upon receipt of assets, will deposit such assets in a FundX Upgrader Fund IRA on behalf of the Depositor authorizing this transfer or direct rollover.

QUESTIONS?

For more information

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