

Transfer of Assets/Rollover Form *for use by Third Party Broker-Dealers*

Use this form to redeem assets held at an outside company and invest in First Investors Funds.

1. Customer Information *(print)*

Name of Customer #1, Beneficiary for Inherited Registration, Minor for UTMA, Trust or Alternate Payee for QDRO

Social Security # or Employer Identification # of Customer #1

Name of Customer #2, Decedent for Inherited Registration, Custodian for UTMA, Trustee, or Account Owner for QDRO

Social Security # or Employer Identification # of Customer #2 or Affiliated Party

2. Account Information

Account Number(s) (Include any prefix and suffix) (required)

Name of Current Trustee/Custodian/Investment **(print)** (required)

Street Address of Current Trustee/Custodian/Investment

City

State

Zip Code

Outside Company Contact's Name **(print)**

Outside Company Contact's Telephone #

Paperwork represents a Client Initiated transaction. No action will be taken by Foresters Investor Services, Inc. to obtain the assets.

Outside Company will accept faxed transaction requests. Fax Number: _____

Estimated expected transaction amount \$ _____

Note: Before submitting any paperwork, contact the firm where your assets are currently held. It may require completion of its own form(s) before it will redeem your account and send the proceeds to Foresters Financial Services, Inc.

3. Account Type *(Attach your most recent statement.)*

Assets are invested in this type of account:

"From" Account (Check only one box below.)

- | | | | |
|--|--------------------------------------|--|---|
| <input type="checkbox"/> Non-Retirement | <input type="checkbox"/> Conduit IRA | <input type="checkbox"/> SEP-IRA | <input type="checkbox"/> Inherited SEP IRA |
| <input type="checkbox"/> ESA | <input type="checkbox"/> Pension | <input type="checkbox"/> SIMPLE IRA | <input type="checkbox"/> Inherited SIMPLE IRA |
| <input type="checkbox"/> Traditional IRA | <input type="checkbox"/> 401(k) | <input type="checkbox"/> Inherited Traditional IRA | <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> Roth IRA | <input type="checkbox"/> Roth 401(k) | <input type="checkbox"/> Inherited Roth IRA | |

Assets will be invested in this type of account:

"To" Account (If a Retirement Account is being redeemed, check only one box below.)

- | | | |
|--|---|--|
| <input type="checkbox"/> Non-Retirement | <input type="checkbox"/> Conduit IRA | <input type="checkbox"/> Inherited Traditional IRA |
| <input type="checkbox"/> ESA | <input type="checkbox"/> SEP-IRA | <input type="checkbox"/> Inherited Roth IRA |
| <input type="checkbox"/> Traditional IRA | <input type="checkbox"/> SIMPLE IRA | <input type="checkbox"/> Inherited SEP-IRA |
| <input type="checkbox"/> Roth IRA | <input type="checkbox"/> Inherited SIMPLE IRA | |

4. Redemption Instructions (Complete only one section)

All amounts to be transferred/rolled over must be liquidated (redeemed). Foresters Financial Services, Inc. and First Investors Funds will not accept shares transferred in kind. UNDER NO CIRCUMSTANCES ARE THESE POSITIONS TO BE TRANSFERRED IN-KIND OR ASSIGNED TO FORESTERS FINANCIAL SERVICES, INC. and/or FIRST INVESTORS FUNDS. Assets must be made payable to Foresters Financial Services, Inc. for my benefit.

A. Qualified Retirement Plan Information:

(For use with Pension, 401(k) or other Qualified Retirement Plan asset rollovers to qualified IRAs)

- Liquidate 100% of the Qualified Retirement Plan account number referenced in **Section 2.**
- Liquidate only \$ _____ of the Qualified Retirement Plan account number referenced in **Section 2.**

B. Mutual Fund Information:

- Liquidate 100% of **ALL** mutual funds held in the account(s) referenced in **Section 2.**

OR

- Liquidate _____ All **or** \$ _____ **or** _____ %
Mutual Fund Name
- Liquidate _____ All **or** \$ _____ **or** _____ %
Mutual Fund Name
- Liquidate _____ All **or** \$ _____ **or** _____ %
Mutual Fund Name
- Liquidate _____ All **or** \$ _____ **or** _____ %
Mutual Fund Name

C. Bank, Brokerage, Credit Union, Annuity or Policy Surrender Information:

- Liquidate 100% of the positions held in the account number referenced in Section 2.**
- Liquidate cash or cash positions.** All cash or cash positions held in bank, brokerage or credit union will be liquidated unless you indicate a different amount to liquidate here \$ _____
- Liquidate Annuity or Policy and send cash.** (Select one)
 - _____ % , **OR**
 - \$ _____ , **OR**
 - only the amount of annuity available without a penalty.

If 100%, I understand that I may incur a penalty for early liquidation. This transaction does NOT represent a 1035 exchange.
- Liquidate CD and send cash.** (Select one)
 - Liquidate CD at maturity; maturity date: _____ (Submit at least 21 days, but no more than 60 days before maturity.)
 - Liquidate CD immediately. I understand that I may incur a penalty for early liquidation.

5. Authorization & Signature

Customer Authorization:

For All Accounts: I hereby acknowledge that I have read and understand all of the information included in this form. I authorize the redemption and certify that all statements are complete and accurate to the best of my knowledge and belief. I understand that I am responsible for providing any evidence that may be required by the Internal Revenue Service to validate any of the information given. I acknowledge having established a First Investors Funds account through execution of the applicable First Investors Funds application. I authorize and direct my present custodian or trustee or investment company as well as Foresters Financial Services, Inc. ("FFS") and First Investors Funds and their affiliates to act in accordance with these instructions. I certify that no tax advice has been given to me by the Custodian, FFS, and First Investors Funds or their affiliates.

For All Rollover Accounts: I acknowledge that I have taken all the Rollover decisions and factors into consideration before rolling over the qualified plan indicated in this form to a FFS IRA invested in First Investors Funds.

For All Retirement Accounts: I acknowledge that I have adopted a Retirement Account with FFS as successor custodian/trustee, and agree to transfer/rollover only those assets which can be held in such accounts, as described in the relevant Custodial Agreement or Disclosure Statements. I attest that this transfer/rollover will not contain ineligible amounts. I certify that no advice has been given to me by the Custodian, FFS, and First Investors Funds and their affiliates regarding the continuation or cessation of Substantially Equal Periodic Payments and the continuation of Required Minimum Distributions.

FOR EXISTING CUSTOMERS: If you attach a retirement account application, a new retirement registration will be established. If you do not attach a new retirement account application, transferred assets will be commingled with your existing First Investors Funds retirement assets, in similar registrations. You should check with your tax advisor to determine if your retirement assets should be commingled, since, by commingling assets you may not be permitted to roll over retirement assets to another employer sponsored plan at a later date.

Signature of Customer #1 or Alternate Payee

Date

Signature of Customer #2, if applicable

Date

Affix Medallion Signature Guarantee Here, If Required:

Stamps qualified for a specific date and/or individual or altered in any manner, may not be accepted.

Affix Medallion Signature Guarantee Here, If Required:

Stamps qualified for a specific date and/or individual or altered in any manner, may not be accepted.

6. Delivery Instructions

May be completed by your Registered Representative and Foresters Investor Services, Inc., as agent for Foresters Financial Services, Inc.

Make check payable to: Foresters Financial Services, Inc., FBO: _____ Reference #: _____

Send proceeds to the address shown below using one of the following methods:

MAIL

Foresters Investor Services, Inc.
Dept. RO
PO Box 7837
Edison, NJ 08818-7837

OVERNIGHT MAIL

Foresters Investor Services, Inc.
Dept. RO
Raritan Plaza I, 8th Floor
Edison, NJ 08837-3620
Charge delivery fees to account #: _____

WIRE

Check this box to wire assets to the Custodian, using the instructions indicated on the attached cover letter.

Custodian Authorization:

Foresters Financial Services, Inc. hereby agrees to act as successor custodian and hereby accepts the Education Savings Account or retirement assets indicated in the "From" account selected in **Section 3** and will apply the proceeds to such type of First Investors Funds account selected in the "To" account established on behalf of the above individual. First Investors Funds are not FDIC insured, not guaranteed by the Custodian, Foresters Financial Services, Inc., and First Investors Funds, and are subject to investment risks including possible loss of principal.



Francis X. Gannon - Custodian's Signature