

MEMO# 21842

October 15, 2007

Model Transfer of Assets Request Form

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TO: OPERATIONS COMMITTEE No. 29-07
TRANSFER AGENT ADVISORY COMMITTEE No. 72-07
BROKER/DEALER ADVISORY COMMITTEE No. 67-07
BANK, TRUST AND RECORDKEEPER ADVISORY COMMITTEE No. 43-07 RE: MODEL TRANSFER
OF ASSETS REQUEST FORM

The Transfer Agent Advisory Committee's ToRA Task Force, led by Tom Schmidt of DST Systems, Inc., developed the attached model transfer of assets request form. The model form, for completion by the shareholder/advisor, requests all of the information that is necessary to facilitate a successful transfer of retirement assets. The Task Force is not recommending that fund companies adopt the model form as is, but instead encourages fund companies to use the model form as a resource to help improve on their existing transfer of assets form.

The model transfer of assets request form is the first product of a multi-part project to improve the retirement asset transfer process through ToRA, with the goal of increasing automated transfer volumes and decreasing reject rates. The ToRA Task Force is working closely with the BDAC's Transfers Working Group, which is looking at automating certain retirement and retail transfers between funds and firms that are processed manually today.

I know you will join me in thanking the ToRA Task Force for their continuing efforts on a very important initiative. Feel free to contact me at butler@ici.org or 202-326-5850.

Diane M. Butler
Director – Transfer Agency & International Operations

[Attachment](#)

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