

GUGGENHEIM

IRA Transfer/Direct Rollover Request

Do NOT use this form to request a transfer or rollover into a 403(b) account; use the 403(b)(7) Custodial Account Transfer/Direct Rollover Request form instead.

For more information, contact us toll-free at 800.820.0888, direct dial 301.296.5100.

Visit our web site at www.guggenheiminvestments.com.

Standard delivery: P.O. Box 10839, Rockville, MD 20849-0839

Overnight delivery: 805 King Farm Boulevard, Suite 600, Rockville, MD 20850

1. GUGGENHEIM ACCOUNT INFORMATION

Account Name

Social Security Number

Date of Birth

Address

Primary Telephone

Secondary Telephone

City

State

Zip

Email Address

This is a **new** Guggenheim IRA account. I have completed and enclosed an IRA Application with this transfer form.

This is an **existing** Guggenheim IRA account. Please apply the proceeds to:

Account Number

Fund Name(s) (If no fund is specified, proceeds will be credited to the U.S. Government Money Market.)

2. CURRENT CUSTODIAN/TRUSTEE INFORMATION

Current Custodian/Trustee Firm Name

Account Number (Complete one form for each account you are transferring.)

Address

Telephone Number of Current Custodian

City

State

Zip

If you are unsure of the correct address, contact your current custodian. An incorrect address may result in delays.

PLEASE ATTACH A COPY OF THE MOST RECENT STATEMENT FOR THIS ACCOUNT.

3. TRANSFER INFORMATION

This transfer is a: (check one)

- Complete Transfer.** Please liquidate all assets in my account.
- Partial Transfer.** Please liquidate \$ _____ from my account.

Redeem from _____
(Fund Name)

Transfer-in-Kind. (Rydex or Guggenheim funds only)

Please transfer _____ shares of _____
(Fund Name)

This transfer should be processed: (check one)

- Immediately
- Upon maturity (if applicable). The maturity date is _____
Please return this form two weeks prior to maturity.

The type of account I am transferring from is a: (check one)

- Traditional or Rollover IRA
- Roth or Roth Conversion IRA
- SEP IRA
- SIMPLE IRA (must be two years since first contribution)
- Beneficiary IRA
- Beneficiary Roth IRA
- 403(b) Plan/Tax-Sheltered Annuity (Rollover to IRA only)
- Qualified Retirement Plan (e.g. 401(k))

The type of account I am transferring to is a: (check one)

- Traditional or Rollover IRA
- Roth IRA
- SEP IRA
- SIMPLE IRA
- Beneficiary IRA
- Beneficiary Roth IRA

4. TRANSFER INSTRUCTIONS

Indicate your preferred transfer method by checking a box below. *If no method is selected, the default method is By Check.*

BY CHECK

BY WIRE

BY TRANSFER-IN-KIND

- Guggenheim does not charge a fee for receiving a wire; however, your current custodian may charge a fee for sending a wire.
- Purchases into funds that trade twice a day are eligible for the afternoon price only.

5. SIGNATURE

Dear Trustee/Custodian:

I have established an IRA account with Guggenheim and have appointed U.S. Bank, NA as the successor custodian. I hereby authorize and direct you to transfer the specified assets in said account to Guggenheim within thirty (30) days.

Owner's Signature

Date

MEDALLION SIGNATURE GUARANTEE
(Must be completed by an eligible guarantor institution if required by your current custodian.)

Some custodians require a Medallion signature guarantee to transfer assets. Please check to see if your custodian requires a Medallion signature guarantee. Failure to obtain a required Medallion signature guarantee may result in a delay in the transfer of assets.

ACCEPTANCE AND DELIVERY

To the resigning Custodian:

Please see the attached Letter of Acceptance and Delivery Instructions.

For questions or problems with this request, please contact the Account Transfer department at 800.820.0888, Monday through Friday, 8:30 a.m.-5:30 p.m. (ET).

IMPORTANT INFORMATION REGARDING THIS TRANSFER

Retirement account transfers can take from two to four weeks to complete. To check on the status of your transfer, please contact your current custodian. You may wish to keep a copy of this completed transfer form for your records.

If you need additional transfer forms, you may make copies of the blank form, download and print the form from our web site at www.guggenheiminvestments.com, or call us at 800.820.0888 to have additional forms sent to you.

If you need assistance completing this form, call our Client Services department at 800.820.0888, Monday through Friday, 8:30 a.m.-5:30 p.m. (ET).

BEFORE MAILING THIS FORM, HAVE YOU...

- included your Social Security number?*
- completed Sections 1-5?*
- checked if your current custodian requires a Medallion signature guarantee?*
- signed this form?*
- included a copy of your most recent account statement?*

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