



You have already received an email announcing the assignment of DST's Prime Plan book of business to Aspire Financial Services. We are ready to begin working closely with you to fully transition the contract for recordkeeping and related administration services for all your plans under this program. It's now time for us to gather contract and communications requirements.

Please take note of the key activities that will be transpiring over the next couple of days/weeks. We are targeting all plans to be transitioned by December 31, 2016.

Key Transition Dates

- **September 19th** — An Aspire auto-generated email from PPS@aspireonline.com (one email per plan) will be distributed to provide you with a link to complete a quick questionnaire that will help us determine the required agreements and program requirements for your plans as part of the required 'repapering' process.
- **September 30th** — The 'repapering' electronic Plan Establishment Guide (ePEG) tool will expire. Plans with no response by this date will default to their current compensation structure.
- **October 14th** — Aspire will begin delivering documents to Plan Sponsors, copying the Advisor on the document delivery to enable coordination with them to complete the paperwork.
 - An announcement communication will be issued to Plan Sponsors by October 14th, announcing the reassignment and 'repapering' requirement. We recommend you reach out to your plan sponsor contacts with advance notice before this date.

Contract Compliance through 'Repapering'

To ensure compliance, we need to establish new service agreements with all new plans. As part of this 'repapering' process, we want you to have the opportunity to incorporate any disclosures or agreements you might require to meet the DOL compliance requirements. Some changes you may already be considering include:

- Shift of fee structure – from commission to fee-based or adoption of a level compensation option
- Co-fiduciary support – incorporate a 3(21) and/or 3(38) for plan governance

Our goal is to make this transition as seamless as possible with a focus on limiting any disruption. We

are fully equipped to package all required needs to facilitate the transition of administration and contracts. To determine your specific contract requirements and package type for the 'repapering' process, we have created an easy-to-use electronic questionnaire for you to provide your preferences.

The ePEG Process

Following this notification, you will receive an auto-generated email from our ePEG system providing you with a link to a questionnaire to determine your 'repapering' package type. Please note, if your plan has more than one advisor on the plan, we will send the auto-generated email with access to the questionnaire to only one of the advisors listed. The email will direct you to log in and provide the necessary information for the plan's 'repapering' process. Our ePEG document workflow tool will then generate the requisite paperwork based on your preferences. The questionnaire must be completed no later than September 30th. Plans with no response will default to the current compensation structure.

We are fully equipped to package all required needs to facilitate the transition of administration and contracts. In terms of sequencing, our first step was connecting with the home office of the broker dealer of record, you—the individual advisor of the plan(s), and outreach to the Plan Sponsor. We will initiate Plan Sponsor communications in late September and our intent is to do this jointly.

If you have any immediate questions, please send your inquiries to PPS@aspireonline.com. To assist in this relationship and process, we've appointed **Jay Bloom, Vice President and Account Executive**, to oversee all broker dealer and advisor relationships for this program.

Thank you in advance for your cooperation and support. We look forward to working with you to ensure a smooth transition.



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