

# Financial Professional Fees Processed By Aspire

The Plan Fiduciary directs Aspire to assess and remit these fees according to the instructions below.



The information on both pages 1 and 2 of this form are required in order for Aspire to assess and remit Financial Professional fees.

Plan ID \_\_\_\_\_ Plan Name \_\_\_\_\_

Financial Professional Name \_\_\_\_\_ Name of Firm \_\_\_\_\_

Contact Name \_\_\_\_\_

Address 1 \_\_\_\_\_

Address 2 \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Telephone Number \_\_\_\_\_ Ext. \_\_\_\_\_ Fax \_\_\_\_\_

Email \_\_\_\_\_ Website \_\_\_\_\_

### Annual Compensation Method:

By advisory fee

- |  |                                   |                                     |
|--|-----------------------------------|-------------------------------------|
| <input type="checkbox"/> Fixed Dollar Amount \$ _____ (Per Year) | <input type="checkbox"/> Pro Rata | <input type="checkbox"/> Per Capita |
| <input type="checkbox"/> Fixed Percentage _____ % (Per Year)     | <input type="checkbox"/> Pro Rata | <input type="checkbox"/> Per Capita |
| <input type="checkbox"/> Tiered Percentage Structure             | <input type="checkbox"/> Pro Rata | <input type="checkbox"/> Per Capita |
| Tier 1: \$ _____ to \$ _____ % of Plan Assets                    |                                   |                                     |
| Tier 2: \$ _____ to \$ _____ % of Plan Assets                    |                                   |                                     |
| Tier 4: \$ _____ to \$ _____ % of Plan Assets                    |                                   |                                     |
| Tier 4: \$ _____ to \$ _____ % of Plan Assets                    |                                   |                                     |

**PLEASE COMPLETE  
BOTH PAGES  
OF THIS FORM.**

Tiers applied to assets by:  Slotted  Progressive (See back of sheet for definition/explanation of terms)

By fund commissions (12b-1). (Aspire will send the appropriate forms to the Financial Professional.)

### Compensation Schedule

Aspire calculates advisory fees based on the information provided above. (Please allow 4-5 weeks after end of quarter for payment.)

The default for billing is across all assets, in arrears and pro-rated for a quarterly billing period. If there is any variation from the default, including billing in advance or not billing across all assets, Aspire will not bill unless clearly explained below:

### Plan Fiduciary Signature

I have reviewed the fees detailed above and deem them reasonable. I hereby direct Aspire to assess and remit these fees.

Fiduciary Name \_\_\_\_\_

\_\_\_\_\_

Fiduciary Signature

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Date (month | day | year)

**Payment Method and Billing Instructions are on page 2 of this form. In order to be paid, the Financial Professional must complete page 2.**

Email: billing@aspireonline.com, fax: 813.466.7523 or mail to: Aspire, 4010 Boy Scout Blvd., Suite 450, Tampa, FL 33607.

Questions? Call Client Services at 866.634.5873, M - F, 8am - 8pm EST.

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**Payment Method/ Billing Instructions: (select one)**

**Check**

Payee	Branch Number (if applicable)	
Address	Broker/Dealer Number (if applicable)	
City	State	Zip
Email		
Special Check Instructions		

Send payment breakdown information to

**ACH**       **Wire**

Bank Name
Account Number
Name on Account
ABA Routing Number
Email

Send payment breakdown information to

**W9 for payee attached**

**Special Instructions:**

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## Glossary of terms

**Per Capita**

Each participant with a balance will be charged the same dollar amount.

**Pro rata**

Each participant with a balance will be charged in proportion to the percentage that each participant's assets represent relative to the total assets of the plan.

**Slotted**

One fee percentage is applied to all assets. That single amount is determined by the tier structure provided by the TPA. Once a plan's total assets passes a tier break-point, the new fee percentage is applied to all assets in the plan, from the first dollar.

**Progressive**

A different fee percentage is applied to each tier of plan assets, based on the structure provided by the TPA. Plan assets that fall in any range of the below tiers will be charged the commensurate fee percentage associated with that tier, creating a "stagger-step" fee structure.

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