



Transfer of Assets/Direct Rollover TRADITIONAL IRA AND SEP IRA PLANS — Instructions for completing this form are provided on the reverse.

PARTICIPANT INFORMATION

Name _____ Account Number _____

Street Address (PO Box is not sufficient) _____

Phone number (evening) _____ Phone number (day) _____

Date of Birth _____ SSN or TIN _____

US Citizen Resident Alien: Country of Origin _____ Non-Resident Alien: Country of Origin _____

TYPE OF REQUEST

Transfer of Assets (like plans) Direct Rollover Qualified Plan to IRA Direct Rollover 403(b) or 457 to IRA

CURRENT PLAN INFORMATION

- Please check with your current Custodian for the correct address and whether a Medallion Signature Guarantee is required to avoid delays.
- Attach a copy of a current statement if possible.

Type of Account you are Transferring/Rolling Over IRA SEP-IRA 403(b) 457 Plan Qualified Plan*

* If you are Rolling Over from a Qualified Plan, please contact your Plan Administrator for Distribution/Rollover Forms.

Name of current custodian or agent _____

Address _____

Phone number _____

For Certificate of Deposits: Immediately At Maturity Date

TRANSFER/ROLLOVER AUTHORIZATION

Please transfer the following investments to PFPC Trust Company as Custodian for Van Wagoner Funds Traditional IRA.

1. Fund Name or Type of Investment to be transferred _____ Account number _____

Liquidate entire account Transfer in kind Partial \$ or shares

2. Fund Name or Type of Investment to be transferred _____ Account number _____

Liquidate entire account Transfer in kind Partial \$ or shares

I authorize the Transfer of Assets or Direct Rollover as noted above to my Van Wagoner Funds IRA and authorize Van Wagoner Funds and PFPC Trust Company to process this request on my behalf. I understand it is my responsibility to assure the prompt Transfer of Assets by the current Custodian. I have read and understand all information in the instructions and hereby provide the applicable direct rollover certification.

Signature of IRA Participant (required) _____ Date _____

Medallion Signature Guarantee Stamp and Signature _____
(if required by your current Custodian or transfer agent)

TO BE COMPLETED BY PFPC TRUST COMPANY

Issue check payable to: PFPC Trust Company as Custodian for Van Wagoner Funds Roth IRA.

Van Wagoner Funds FBO _____ Account number _____ SSN _____

VAN WAGONER IRA ACCOUNT INFORMATION

I am opening a new IRA and have attached the required application. New accounts must meet the fund minimum.

Type of Account: IRA SEP-IRA (must attach Form 5305-SEP)

OR

Deposit the proceeds into my existing Traditional IRA or SEP IRA. Account Number:

VAN WAGONER FUND INVESTMENT ELECTION

For NEW accounts, the initial investment must be at least \$2,000 (express as a dollar amount **or** as a percentage). ALL DIVIDENDS AND CAPITAL GAINS WILL BE REINVESTED.

Van Wagoner Small-Cap Growth Fund (30) \$ or %

Van Wagoner Emerging Growth Fund (31) \$ or %

Van Wagoner Growth Opportunities Fund (38) \$ or %

INSTRUCTIONS TO THE SHAREHOLDER

Please read carefully.

This form will be used by Van Wagoner Funds to initiate a Transfer of Assets or a Direct Rollover based on your request from an existing retirement plan account as designated on this form to your Traditional or SEP IRA at Van Wagoner Funds. If you are over age 70½, you are responsible to request a distribution of any Required Minimum Distribution at the time of this Transfer of Assets request. Please remember that a Transfer of Assets can only occur between the same type of retirement plans, example IRA to IRA. If you are requesting a Direct Rollover, please read the section below. For certificates of deposit, please indicate if you wish to have the funds transferred immediately, which may incur a redemption penalty if they have not matured, or at maturity. We cannot accept requests to transfer assets from certificates more than 60 days prior to their maturity.

When completed, please return the signed form, a copy of your current account statement, and the appropriate new account application for your IRA (if required) to:

First Class Mail:

Van Wagoner Funds
P.O. Box 9682
Providence, RI 02940

Overnight Mail:

Van Wagoner Funds
101 Sabin Street
Pawtucket, RI 02860

1-800-228-2121

Insufficient information or incorrect forms will result in delays in processing your instructions. If you need assistance in completing this form or need additional forms please contact our Customer Service Representatives at 1-800-228-2121. We would be happy to help you.

INSTRUCTIONS TO RESIGNING CUSTODIAN/TRANSFER AGENT

Please liquidate the Participant's account(s) as specified in the "Transfer/Rollover Authorization" section. Issue a check payable as indicated and mail along with your account number and any other instructions to:

PFPC Trust Company
c/o Van Wagoner Funds
P.O. Box 9682
Providence, RI 02940

ACCEPTANCE BY PFPC TRUST COMPANY AS CUSTODIAN

PFPC Trust Company accepts its appointment as Custodian of the above referenced IRA and has established an IRA as indicated by the shareholder on this form under the Internal Revenue Code section 408(a) for IRAs under the shareholder's name in the Van Wagoner Funds. Van Wagoner Funds and PFPC Trust Company, as Custodian, cannot accept assets other than cash. Upon receipt of the check, the proceeds will be credited to the named Participant's account.

Accepted by PFPC Trust Company, as Custodian for Van Wagoner Funds Roth IRA.

Authorized Representative of PFPC Trust Company _____

Date _____