



## 1. Instructions

### Questions?

1-800-OAKMARK  
(625-6275)

### Hours:

Monday - Friday  
8:00am - 6:00pm ET

Transfers of IRA or ESA assets can have tax implications. Please consult a tax advisor to ensure you have a full understanding of the tax implications and IRS regulations prior to initiating a transfer. For more information consult IRS Publications 560, 590 and 970.

Please complete this form online, then print, sign and mail it to us.

- If you are transferring assets from another custodian, trustee or plan administrator to a **new Oakmark account**, use this form and a new account application:
  - 1) For a traditional, Roth, SEP or SIMPLE IRA, complete and attach the **IRA Application & Adoption Agreement**.
  - 2) For a Coverdell Education Savings Account (ESA), complete and attach the **Coverdell Education Savings Account (ESA) Application & Adoption Agreement**.
- If you are transferring assets to an **existing Oakmark account**, complete this form only and do not attach an application.
- To transfer more than one account, please complete an additional transfer form.
- Oakmark will initiate the transfer directly with your current custodian, trustee or plan administrator by sending this form and our Letter of Acceptance to act as the new custodian of your assets to the address you provide in **Section 4**.
- To expedite the transfer of your assets, please contact your current custodian or plan administrator to:
  - 1) Confirm that this form along with Oakmark's Letter of Acceptance is sufficient;
  - 2) Determine if they require a medallion signature guarantee on this form;
  - 3) Verify that you have completed all necessary paperwork to ensure the timely transfer of assets;
- We recommend you attach a copy of your most recent account statement from your current custodian or plan administrator to this form.
- If you do not receive a confirmation statement detailing the transfer within 45 days, please call your current custodian, trustee or plan administrator to determine the status of your request.

**Regular Mail:**  
Oakmark Funds  
P.O. Box 219558  
Kansas City, MO 64121-9558

**For Overnight Delivery:**  
Oakmark Funds  
330 West 9th Street  
Kansas City, MO 64105-1514

## 2. Account Owner Information

### A. IRA

Owner's Name (First, Middle Initial, Last)

Social Security Number

Date of Birth (MM/DD/YYYY)

### B. ESA

Student's Name (First, Middle Initial, Last)

Social Security Number

Date of Birth (MM/DD/YYYY)

Name of Responsible Individual (RI)  
(First, Middle Initial, Last)

Social Security Number

Date of Birth (MM/DD/YYYY)

### 3. Contact Information

Primary Phone Number	Secondary Phone Number	Email Address
Mailing Address - <i>P.O. Box is acceptable</i>		
City	State	Zip Code

### 4. Information about Your Current IRA, ESA or Qualified Plan

Fund Name, Ticker or Number (if applicable)	Account Number at Current Custodian		
Name of Current Custodian, Trustee or Plan Administrator	Contact Person or Department		
Mailing Address			
City	State	Zip Code	Phone Number

### 5. Instructions to Current Custodian or Plan Administrator

#### A. Type of Account

Select one:

- ☐ Liquidate and transfer my traditional IRA
- ☐ Liquidate and transfer my Roth IRA
- ☐ Liquidate and transfer my SEP IRA
- ☐ Liquidate and transfer my SIMPLE IRA
- ☐ Liquidate and perform a rollover of my qualified retirement plan
- ☐ Liquidate and transfer my ESA

#### B. Liquidation/Transfer Amount

Select one:

- ☐ Liquidate and transfer all assets
- ☐ Liquidate and transfer only the following percent: \_\_\_\_\_%
- ☐ Liquidate and transfer only the following dollar amount: \_\_\_\_\_

## 5. Instructions to Current Custodian or Plan Administrator *Continued*

### C. Roth IRA Conversion

☐ I am converting assets from my existing traditional IRA to an Oakmark Roth IRA.

- The conversion of a traditional IRA to a Roth IRA is a taxable event and will trigger a federal income tax liability on the amount of the Traditional IRA converted.
- If you are 72 or older during the year of the conversion, you must satisfy your RMD before it is converted.
- Your current IRA custodian or trustee is required to withhold federal income taxes at a rate of 10% on the amount you convert, **unless you elect not to have withholding apply by checking the box below.**

☐ I do **NOT** want to have federal income tax withheld from my conversion amount.

### D. Delivery Instructions for Current Custodian or Plan Administrator

- 1) Liquidate assets from the account listed in [Section 4](#) and **transfer/rollover in cash.**
- 2) Make check payable to: **Oakmark Funds FBO Shareholder Name**
- 3) Send check to:

<b>Regular Mail:</b>	<b>For Overnight Delivery:</b>
Oakmark Funds	Oakmark Funds
P.O. Box 219558	330 West 9th Street
Kansas City, MO 64121-9558	Kansas City, MO 64105-1514

## 6. Type of IRA You Are Transferring To

Select one:

- ☐ **Traditional IRA**  
You may transfer from a traditional IRA, SEP IRA, or a SIMPLE IRA, but not until at least two years after the first contribution to your SIMPLE IRA. You may NOT transfer from a Roth IRA.
- ☐ **Roth IRA**  
You may transfer from a Roth IRA, traditional IRA, SEP IRA, or a SIMPLE IRA, but not until at least two years after the first contribution to your SIMPLE IRA. A transfer from a traditional IRA, SEP IRA, or SIMPLE IRA will trigger federal income tax on the taxable amount transferred.
- ☐ **SEP ( Simplified Employee Pension) IRA**  
You may transfer from a traditional IRA, SEP IRA, or a SIMPLE IRA, but not until at least two years after the first contribution to your SIMPLE IRA. You may NOT transfer from a Roth IRA.
- ☐ **SIMPLE IRA**  
You may transfer from a SIMPLE IRA. You may also transfer from a traditional IRA or SEP IRA, but not until at least two years after the first contribution to your SIMPLE IRA. You may NOT transfer from a Roth IRA.
- ☐ **ESA**  
You may only transfer from an ESA.

Select one:

- ☐ Transfer assets to a new Oakmark account. Complete and attach a new account application (see [Section 1](#)). Skip to [Section 8](#).
- ☐ Transfer assets to new or existing Fund(s) under my existing Oakmark account number: \_\_\_\_\_  
Complete [Section 7](#).

## 7. Investment

### Minimum Amounts

#### for New Funds:

Investor: \$0  
 Advisor: \$100,000  
 Instl: \$250,000  
 R6: \$1,000,000  
 Oakmark Units: \$0

\*Distributions will be reinvested in additional Fund shares unless you check the box(es) to receive a cash distribution.

Fund Name	Share Class	Investment Amount	Percent Must equal 100%	Cash Distribution*
Oakmark Fund			%	<input type="checkbox"/>
Oakmark Select Fund			%	<input type="checkbox"/>
Oakmark Global Fund			%	<input type="checkbox"/>
Oakmark Global Select Fund			%	<input type="checkbox"/>
Oakmark International Fund			%	<input type="checkbox"/>
Oakmark International Small Cap Fund			%	<input type="checkbox"/>
Oakmark Equity and Income Fund			%	<input type="checkbox"/>
Oakmark Bond Fund			%	<input type="checkbox"/>
Oakmark Units of the Financial Square Treasury Solutions Fund			%	<input type="checkbox"/>
<b>Total Investment:</b>		<input type="text"/>	<input type="text"/> %	

If you are transferring assets to a new account, the below fees will be automatically deducted from your investment. You may include your fee payment with this form. Please make your check payable to the Oakmark Funds.

#### IRA Fees

One-Time Setup Fee: \$5.00 per Fund account  
 Annual Maintenance Fee: \$15.00 per Social Security Number

#### ESA Fees

One-Time Setup Fee: \$5.00 per Fund account  
 Annual Maintenance Fee: \$10.00 per Social Security Number

## 8. Account Owner Signature *Required*

I acknowledge that I have sole responsibility for my investment choices and that I have received and read the **Oakmark Funds' Prospectus and/or the Summary Prospectus** which I have been advised to read carefully before investing. I acknowledge that I have received and read the Custodial Agreement and Disclosure Statement.

I understand that the requirements for a valid asset transfer are complex and that I have the responsibility for complying with all requirements and for the tax results of any such transfer.

#### Traditional, Roth or SEP IRA:

I certify to the current IRA custodian or trustee that I have established (or will establish) a successor IRA account meeting the requirements of Internal Revenue Code Section 408(a), 408(p) or 408A (as the case may be) to which assets will be transferred, and certify to the Oakmark Funds' IRA custodian that the IRA from which assets are being transferred meets the requirements of Internal Revenue Code Section 408(a), 408(p) or 408A as the case may be.

#### SIMPLE IRA:

I certify to the current SIMPLE IRA custodian or trustee that I have established (or will establish) a successor SIMPLE IRA Individual Retirement Custodial Account meeting the requirements of Internal Revenue Code Section 408(p) to which assets will be transferred, and certify to the Oakmark Funds' SIMPLE IRA Custodian that the SIMPLE IRA from which assets are being transferred meets the requirements of Internal Revenue Code Section 408(p).

#### ESA:

I acknowledge that I have received and read the **ESA Custodial Agreement and Disclosure Statement**.

I certify to the current ESA custodian that I have established (or will establish) a successor ESA meeting the requirements of Internal Revenue Code Section 530(b) to which assets will be transferred, and certify to the Oakmark Funds' ESA custodian that the ESA from which assets are being transferred meets the requirements of Internal Revenue Code Section 530(b).

8. Account Owner Signature *Continued, Required*

A. IRA

X

Signature

Date

B. ESA

X

Signature of Student (If Student has obtained the age of majority in his/her state of residence)

Date

If the Student is a minor under the laws of the Student’s state of residence, the Responsible Individual must also sign here. Until the Student reaches the age of majority, the Responsible Individual will exercise the powers and duties of the Student.

X

Signature of Responsible Individual

Date

9. Medallion Signature Guarantee *If required*

Oakmark does not require a STAMP2000 Medallion Signature Guarantee (MSG) stamp; however, please contact your current custodian to determine if they require an MSG stamp on this form.

You can obtain an MSG stamp from most commercial banks, trust companies, savings associations, credit unions and member firms of domestic stock exchanges. **A notary public cannot provide an MSG.**

MSG Stamp