


## 1. Instructions

### Questions?

1-800-OAKMARK  
(625-6275)

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

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

- Use this form to redeem from your Oakmark account or to redeem from an Oakmark account due to death.
- A STAMP2000 Medallion Signature Guarantee (MSG) stamp is required if the redemption proceeds exceed \$100,000, are to be sent to a bank account that is not on file or was added online within the last 60 days, are to be sent to the address on file that has changed within the last 15 days, or are to be made payable or mailed to someone other than the account owner(s).
- Do not use this form to redeem from an Oakmark IRA account. Use the [IRA Distribution Form](#).
- The paperclip  indicates that additional documentation is required with this form.

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

**For Overnight Delivery:**  
Oakmark Funds  
801 Pennsylvania Ave  
Suite 219558  
Kansas City, MO 64105-1307

You can also redeem from your account online at [Oakmark.com](https://www.oakmark.com)

## 2. Existing Account Information

Please see an account statement for this information. To redeem from another account, please complete and attach an additional form.

Account Number

Social Security Number/Tax Identification Number

Account Owner Name(s)/Account Registration

## 3. Contact Information

Primary Phone Number

Secondary Phone Number

Email Address

## 4. Type of Redemption

Select one:

- ☐ **Partial Redemption.** Go to [Section 6](#).
- ☐ **Redemption Due to Death.** Go to [Section 5](#).
- ☐ **Account Liquidation.** Redeem assets in all Funds under the account number listed in [Section 2](#). Go to [Section 7C](#).

## 5. Redemption Due to Death

Please attach an inheritance tax waiver if required by the respective state of the deceased account owner's residence.

### A. Date of Death

Date of death of account owner: \_\_\_\_\_  
(MM/DD/YYYY)

### B. Type of Distribution

Select one:

- ☐ **To a Joint Owner.** Each joint owner must complete one form. A conduit account will be established in your name in order to redeem the assets. Provide your SSN, name, and address in [Section C](#) below. You must provide your signature in [Section 9](#) and obtain a medallion signature guarantee in [Section 10](#).
- ☐ **To an Estate Beneficiary.** Each estate beneficiary must complete one form. A conduit account will be established in the beneficiary's name in order to redeem the assets. Provide the beneficiary SSN, both the beneficiary and executor names, and the beneficiary address in [Section C](#) below. Both the executor and beneficiary must provide their signatures in [Section 9](#). The executor must obtain a medallion signature guarantee in [Section 10](#).
- ☐ **To the Estate.** A conduit account will be established in the estate's name in order to redeem the assets. Provide the estate TIN, executor name, estate name, and address in [Section C](#) below. The estate executor must provide a signature in [Section 9](#) and obtain a medallion signature guarantee in [Section 10](#). Go to [Section 7C](#).
- ☐ **To a Transfer on Death (TOD) Beneficiary.** Each beneficiary must complete one form. A conduit account will be established in your name in order to redeem the assets. Provide your SSN, name, and address in [Section C](#) below. You must provide your signature in [Section 9](#) and obtain a medallion signature guarantee in [Section 10](#). Provide the names and dates of any TOD beneficiaries that you know are deceased:

\_\_\_\_\_  
Name of Beneficiary

\_\_\_\_\_  
Date of Death (MM/DD/YYYY)

\_\_\_\_\_  
Name of Beneficiary

\_\_\_\_\_  
Date of Death (MM/DD/YYYY)

### C. Recipient Information

\_\_\_\_\_  
Name of Joint Owner or Beneficiary (including Trusts or Charities)

\_\_\_\_\_  
Social Security Number/Tax Identification Number

\_\_\_\_\_  
Name of Estate *If distributing to the estate*

\_\_\_\_\_  
Name of Trustee/Authorized Party (First, Middle Initial, Last) *If beneficiary is a trust or charity*

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip Code

6. Redemption Amount

\* A Medallion Signature Guarantee stamp is required in Section 10 if the redemption amount is more than \$100,000.

Redeem the following amounts from the Funds listed below:

Fund Name	Share Class	Redemption Amount *	Dollars, Shares or Percent

7. Delivery Instructions

Minimum Amounts:  
Investor: \$0  
Advisor: \$100,000  
Instl: \$250,000  
R6: \$1,000,000

The accounts from which you are redeeming, and into which you are purchasing, must have the same account owner and SSN/TIN (e.g., individual to IRA). For all other exchanges/transfers, please use the [Change of Registration Form](#).

If you are exchanging to an IRA or Coverdell ESA, the contribution will be coded as current year, unless you instruct otherwise.

A. Exchange to Another Oakmark Fund

Exchange to new or existing Fund(s) under my account number listed in Section 2:

Fund Name	Share Class	Dollar Amount	or Percent
			%
			%
			%
			%

B. Exchange to Another Oakmark Account Number

Select one:

☐ Exchange to an existing account:

Fund Name	Share Class	Account Number	Dollar Amount	or Percent
				%
				%
				%
				%

☐ Exchange to a new account:

 Complete and attach the [Oakmark New Account Registration Form](#), [IRA Application & Adoption Agreement](#) or [Coverdell ESA Application & Adoption Agreement](#).

## 7. Delivery Instructions *continued*

### C. Send Proceeds Via Mail

**Select one:**

- ☐ Via Regular Mail. Proceeds should be received 7-10 business days after receipt of your request in good order.
- ☐ Via Overnight Mail. **A \$25.70 overnight fee will be deducted from your account.** Proceeds should be received 2-3 business days after receipt of your request in good order.

**Select one:**

- ☐ Make check payable to current name and address on file. All Oakmark account owners must obtain a medallion signature guarantee in [Section 10](#) if the address on file has changed within the last 15 days.
- ☐ Make check payable to name and address provided in [Section 5](#). You must obtain a medallion signature guarantee in [Section 10](#).
- ☐ Make check payable to another name and address or send check to another name and address. All Oakmark account owners must obtain a medallion signature guarantee in [Section 10](#). Please provide the payee and mail information:

\_\_\_\_\_  
Payee Name

\_\_\_\_\_  
Address City State Zip Code

\_\_\_\_\_  
Mailing Recipient (if different)

\_\_\_\_\_  
Mailing Address (if different) City State Zip Code

### D. Send Proceeds Electronically

**Select one:**

- ☐ Via Automated Clearing House (ACH). Proceeds should be received 2-3 business days after receipt of your request in good order.
- ☐ Via Federal Funds Wire. A \$5 wire fee will be deducted from your account. Proceeds should be received 1-2 business days after receipt of your request in good order.


**Select one:**

- ☐ Send the proceeds to my bank account on file.
- ☐ Send the proceeds to a bank account I wish to add on file. All Oakmark account owners must obtain a medallion signature guarantee in [Section 10](#). Please see [Section 8](#) for additional requirements.
- ☐ Send the proceeds to a bank account that I do NOT wish to add on file. All Oakmark account owners must obtain a medallion signature guarantee in [Section 10](#). Please provide the bank information:

\_\_\_\_\_  
Bank Name Bank Account Owner Name(s)

\_\_\_\_\_  
Bank Routing Number Bank Account Number

## 8. Bank Information

 You **must** attach a voided check with pre-printed routing and account numbers.

Complete this section if you would like to establish banking information and electronic transfers to and from your bank account or change your banking information. We will not accept starter checks or mutual fund money market checks.

- All Oakmark account owners must sign this form in **Section 9** and obtain a Medallion Signature Guarantee (MSG) stamp in **Section 10**.
- If there is no name in common between the Oakmark account owners and the bank account owners, ALL Oakmark account owners and bank account owners must sign this form in **Section 9** and obtain a Medallion Signature Guarantee (MSG) stamp in **Section 10**.
- For custodial accounts, including UGMA/UTMA and ESAs, only the custodian or responsible individual is considered the Oakmark account owner.

Please note that this banking information will be added to all accounts under the SSN/TIN.

**Select one:**

- ☐ Add this new/additional bank information to my account(s).
- ☐ Replace the existing bank information on my account(s).

9. Account Owner Signature(s) Required

I authorize the Oakmark Funds, its affiliates and agents, to act on any instructions believed to be genuine for any transactions or services authorized on this form.

If this is a distribution due to death, I certify there are no known disputes or claims that would affect my right to inherit assets as a beneficiary of the deceased shareholder. I agree to hold harmless and indemnify the Oakmark Funds, its affiliates and agents with respect to any direct liabilities, losses, or reasonable expenses arising from compliance with this request.

By completing **Section 8** and supplying my banking information, I understand that telephone and internet transaction privileges will apply to my account, including electronic transfers to and from my bank account. I agree that the Funds, Harris Associates L.P., their transfer agent, or their respective agents, officers, trustees, directors or employees will not be liable for any loss, liability or expense for acting, or refusing to act, on any instructions, including any given under the telephone and internet transaction privileges, that are reasonably believed to be genuine, placing the risk of loss on me. See the discussion of these privileges in the Funds' Prospectus.

**TAXPAYER IDENTIFICATION NUMBER CERTIFICATION:**  
**Under penalty of perjury, I hereby certify that the Social Security or other Tax Identification Number (TIN) in Section 2 or 5 is correct, that I am a U.S. person (U.S. person includes a resident alien) and that I am NOT currently subject to IRS backup withholding (cross out "NOT" if you are currently subject to withholding). The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.**

Sign below exactly as your name(s) appears in **Section 2 or 5**. All owners, including joint owners and trustees, excluding minors must sign. If acting in a special capacity, such as trustee, custodian, beneficiary or executor, the capacity must be indicated after your signature.

<b>X</b>	_____	_____	_____	_____
Signature	Name	Capacity	Date	
<b>X</b>	_____	_____	_____	_____
Signature	Name	Capacity	Date	
<b>X</b>	_____	_____	_____	_____
Signature	Name	Capacity	Date	
<b>X</b>	_____	_____	_____	_____
Signature	Name	Capacity	Date	

10. Medallion Signature Guarantee If required

A STAMP2000 Medallion Signature Guarantee (MSG) is required if redemption proceeds are greater than \$100,000, to be sent to a bank account that is not on file or was added online within the last 60 days, to be sent to the address on file that has changed within the last 15 days, or to be made payable or mailed to someone other than the account owner(s). 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.**

<div>MSG Stamp</div> <div></div>	<div>MSG Stamp</div> <div></div>
<div>MSG Stamp</div> <div></div>	<div>MSG Stamp</div> <div></div>

RETAIN A COPY OF THIS COMPLETED FORM FOR YOUR RECORDS