


## 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 convert your existing Oakmark traditional IRA assets to a new or existing Oakmark Roth IRA.
- Before opening an account, please read the **Oakmark Privacy Policy, Prospectus and Summary Prospectus**.
- Do not use this form to convert traditional IRA or retirement plan assets with another custodian or trustee to an Oakmark Roth IRA. Use the **IRA and ESA Transfer/Direct Rollover of Assets 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  
330 West 9th Street  
Kansas City, MO 64105-1514

## 2. Existing Account Information

Please see an account statement for this information.

\_\_\_\_\_ Fund Name(s), Ticker(s) or Number(s)

\_\_\_\_\_ Account Number

\_\_\_\_\_ Social Security Number

\_\_\_\_\_ Account Owner Name (First, Middle Initial, Last)

## 3. Contact Information

\_\_\_\_\_ Primary Phone Number

\_\_\_\_\_ Secondary Phone Number

\_\_\_\_\_ Email Address

## 4. Roth IRA Conversion Options

**Initial minimum investment amounts:**

Investor: \$0, Oakmark Units: \$0

Advisor: \$100,000, Institutional: \$250,000, R6: \$1,000,000

**Select one:**

Convert 100% of all Funds under my existing Oakmark traditional IRA account number: \_\_\_\_\_

As specified below, convert my existing Oakmark traditional IRA account number: \_\_\_\_\_ to a new Oakmark Roth Converted IRA.

As specified below, convert my existing Oakmark traditional IRA account number: \_\_\_\_\_ to my existing Oakmark Roth Converted IRA account number: \_\_\_\_\_

Traditional IRA Fund Name	Share Class	Roth IRA Fund Name	Share Class	Dollar Amount or Percent
_____	_____	_____	_____	_____ %
_____	_____	_____	_____	_____ %
_____	_____	_____	_____	_____ %
<b>Total:</b>				<input type="text"/> <input type="text"/> %

## 4. Roth IRA Conversion Options *Continued*

**Fees:** If you are converting assets to a new Fund, the below fees will be automatically deducted from your initial investment. You may include your fee payment with this form. Make the check payable to the Oakmark Funds.

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

## 5. Income Tax Withholding

Consult your accountant or tax adviser for detailed information applicable to your unique situation.

**This conversion may be fully or partially taxable and will be treated as subject to withholding. If you do not make an election below, we are required to withhold 10% from the amount converted for payment of federal taxes.**

The 10% withholding will not be part of the amount converted. The taxable portion of the amount withheld may be subject to the 10% penalty tax for early withdrawals and is taxable income. If you elect not to have withholding apply, you will still be liable to pay federal income tax on the taxable portion of the conversion and may be required to pay estimated taxes. You may incur penalties if your withholding and estimated tax payments are not sufficient. If applicable, we will also withhold your required state tax if you have elected to have federal taxes withheld.

**Select one:**

- Do not withhold taxes
- Withhold taxes at the rate of \_\_\_\_\_%

## 6. 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).

## 7. Designation of Beneficiary

If your beneficiary is a trust or other entity, please list the entity name on the Name line and the Tax Identification Number on the Social Security Number line.

To make additional beneficiary designations, please attach a separate sheet.

I hereby make the following designation of beneficiary in accordance with the **Custodial Agreement and Disclosure Statement**. If there is no beneficiary living at the time any such payment becomes due and no per stirpes designation, the payment shall be made to my estate, unless otherwise required under the laws of my state of residence.

Make payment in the proportions specified below. If no inheritance selection is made, the per capita method will be utilized.

### Primary Beneficiary(ies)

**Select one:**

- Per capita. A beneficiary's share will be divided among the remaining beneficiaries in the event he/she pre-deceases you.
- Per stirpes. A beneficiary's heirs will receive his/her share of the distribution in the event he/she pre-deceases you.

**Beneficiary 1:**

\_\_\_\_\_  
Name (First, Middle Initial, Last)      Social Security Number      \_\_\_\_\_%

\_\_\_\_\_  
Relationship      Date of Birth (MM/DD/YYYY)

## 7. Designation of Beneficiary *Continued*

### Primary Beneficiary(ies)

#### Beneficiary 2:

_____	_____	_____ %
Name (First, Middle Initial, Last)	Social Security Number	Percent
_____	_____	
Relationship	Date of Birth (MM/DD/YYYY)	
		<input type="text"/> %
		Total must equal 100%

### Contingent Beneficiary(ies)

If none of the primary beneficiaries survive me and there is no per stirpes designation, the IRA assets will pass to the contingent beneficiary (if any) named below. If no inheritance selection is made, the per capita method will be utilized.

#### Select one:

- Per capita. A beneficiary's share will be divided among the remaining beneficiaries in the event he/she pre-deceases you.
- Per stirpes. A beneficiary's heirs will receive his/her share of the distribution in the event he/she pre-deceases you.

#### Contingent Beneficiary 1:

_____	_____	_____ %
Name (First, Middle Initial, Last)	Social Security Number	Percent
_____	_____	
Relationship	Date of Birth (MM/DD/YYYY)	

#### Contingent Beneficiary 2:

_____	_____	_____ %
Name (First, Middle Initial, Last)	Social Security Number	Percent
_____	_____	
Relationship	Date of Birth (MM/DD/YYYY)	
		<input type="text"/> %
		Total must equal 100%

## 8. Spousal Consent

Your Designation of Beneficiary in **Section 7** may have important tax or estate planning effects. If you are married and reside in a community property or marital property state (Arizona, California, Idaho, Louisiana, Nevada, New Mexico, Texas, Washington or Wisconsin), you may need to obtain your spouse's consent if you have not designated your spouse as primary beneficiary for at least half of the assets in your account(s). Consult your lawyer or other tax professional for additional information and advice.

I am the spouse of the above-named account owner. I hereby consent to the beneficiary designation(s) indicated above.

**X**

Signature of IRA Owner's Spouse \_\_\_\_\_ Name \_\_\_\_\_ Date \_\_\_\_\_

**X**

Signature of Witness \_\_\_\_\_ Name \_\_\_\_\_ Date \_\_\_\_\_

## 9. Signature(s) Required

By signing this form I agree that I have received, read and agree to the Custodial Agreement and Disclosure Statement and Oakmark Privacy Notice. I acknowledge receipt of the Custodial Agreement and Disclosure Statement at least seven days before the date inscribed below and acknowledge that I have no further right of revocation. I accept full responsibility for complying with all IRS requirements with respect to my Oakmark Funds - UMB Bank, N.A. IRA, including, but not limited to, contribution limits, conversions, distributions, recharacterizations, minimum required distributions, and tax-filing and record keeping requirements.

## 9. Signature(s) *Required, Continued*

I understand that I am responsible for any tax consequences or penalties which may result from elections I make or any contributions, conversions, distributions or recharacterizations which I initiate. I hereby indemnify the Oakmark Funds, Harris Associates L.P., the Oakmark Funds' transfer agent and UMB Bank, N.A. (the "Custodian"), and any affiliate and/or any of their directors, trustees, employees, and agents if I fail to meet any such IRS requirements. I certify that the information provided on this IRA Application is true and accurate. I acknowledge and understand that the beneficiary(ies) I have named may be changed or revoked at any time by filing a new designation in writing.

I have received and read the Oakmark Funds' Prospectus and/or the Summary Prospectus for each of the Oakmark Funds (available at Oakmark.com) in which I am investing and believe that the investment is suitable for me. I understand the investment objectives and policies of the Fund(s) and agree to be bound by the terms of the Prospectus. I authorize The Oakmark Funds, its affiliates and agents, to act on any instructions believed to be genuine for any services authorized on this form, including telephone options. By completing Section 6 I hereby authorize the Fund to initiate credits and/or debits to my account indicated in Section 6 and for the bank to honor all entries to my account. I consent to the recording of any telephone conversation(s) when I call the Funds regarding my account(s). I will review all statements upon receipt, and will notify the Funds immediately if there is a discrepancy.

I agree that this IRA becomes effective only upon written acceptance by the Custodian and that such written acceptance will consist of a confirmation of transaction settlement. I agree that the Custodian may amend (add, delete or revise) any term of the Custodial Agreement at any time by notice to me and that my sole remedy if I disagree with the amendment is to transfer funds in the IRA account to another custodian. I agree that the Custodial Agreement is binding on me and on my successors in interest. I represent that I have full authority and legal capacity to purchase Fund shares and establish and use any related privileges. I understand that a \$15 annual maintenance fee (per Social Security Number) may be collected by redeeming sufficient shares from each Fund account balance. The schedule of custodian's fees may change from time to time. I consent to the delivery of a single copy of each prospectus and annual and semi-annual report to me and all other shareholders who share my address. I understand that I may revoke my consent by calling the Oakmark Funds at 1-800-625-6275 or by writing to the address on this application. By 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 Prospectus.

**IMPORTANT INFORMATION ABOUT ESCHEAT LAWS:** If no activity occurs in your account within the timeframe specified by the law in your state and/or if account statements mailed to you are returned as undeliverable during that timeframe, the ownership of your account may be transferred to your state. We strongly encourage all Oakmark shareholders to contact us via phone or log into your account online at least once each year to review your account information. It is also important to inform the Funds promptly of any significant events such as name or address changes.

**TAXPAYER IDENTIFICATION NUMBER CERTIFICATION:** Under penalty of perjury, I hereby certify that the Social Security or other Tax Identification Number (TIN) in Section 2 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.

Please be advised that federal law requires all financial institutions, including mutual funds, to obtain, verify and record information that identifies each person who opens an account. What this means for you: In order to open an account, the Oakmark Funds will ask you to provide certain identifying information on this account application, including your full name, address, date of birth and Social Security Number or Taxpayer Identification Number. If you fail to provide the appropriate information, we may reject your application and all monies received to establish your account will be returned to you. As a result, it is very important that this application be filled out completely in order to establish an account. After your account is established, the Oakmark Funds are required to take steps to verify your identity. These actions may include checking your identifying information against various databases. If the Funds are unable to verify your identity from the information that you provide, you may be restricted from making future purchases for, or transfers of shares from, your account; or, your account may be closed and the redemption proceeds will be paid to you. You will receive the share price next calculated after the Oakmark Funds determine that they are unable to verify your identity; so, your redemption proceeds may be more or less than the amount you paid for your shares and the redemption may be a taxable transaction.

Receipt by the investor of the Oakmark Funds confirmation statement shall indicate UMB Bank, N.A.'s acceptance to act as custodian.

**X** \_\_\_\_\_ Name \_\_\_\_\_ Date \_\_\_\_\_  
Signature

**X** \_\_\_\_\_ Name \_\_\_\_\_ Date \_\_\_\_\_  
Signature

## 10. Medallion Signature Guarantee *If required*

A STAMP2000 Medallion Signature Guarantee (MSG) is required if you are adding bank information. 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

MSG Stamp

## **Oakmark Funds Privacy Notice**

The Oakmark Funds consider the preservation of your privacy a priority. This Privacy Notice applies to Oakmark shareholders, website visitors, users and others (“consumers,” “you,” “your”). To provide individualized service, we collect certain nonpublic personal information, (“NPI” or “personal information”) defined as any data that can be traced to an individual and can be used to identify that individual. The NPI collected may include an individual’s full name, address, Social Security number, purchases, redemptions, account balances and bank account information.

We collect information from the following sources:

- Information users provide when they enter information on our website, such as when submitting a “Contact Us” message or subscribing to an email newsletter;
- Applications or other forms on which you provide NPI;
- Shareholder communications effected by mail, email, the telephone and our website; and
- Shareholder transactions and account inquiries.

We also may obtain NPI about our shareholders who maintain their accounts at financial intermediaries. We disclose the NPI described above only as permitted or required by law or as permitted by the shareholder pursuant to a written consent. Specifically, so that we can complete transactions you authorize or request, we may disclose NPI to the following entities:

- Our financial service providers, such as our investment adviser, distributor, transfer agent and custodian;
- Our non-financial service providers who provide administrative, legal or accounting services, such as our printers and mailers who assist us in the distribution of investor materials or our lawyers and accountants; and
- Our affiliates.

**Information Shared.** The information we collect, as described above, may be shared with our affiliates to enhance customer communications, services and products. We do not sell any NPI about shareholders or former shareholders to anyone and do not disclose it to any unaffiliated third parties except as permitted or required by law, or at the specific request of the shareholder. We may disclose some or all of the above information to affiliated and unaffiliated companies that perform certain administrative and marketing services (such as preparing and mailing prospectuses, reports and account statements and providing custodial services) on the Funds’ or a shareholder’s behalf.

### **Consumer/Shareholder Rights**

Consumers who are California residents may have specific rights pursuant to the California Consumer Privacy Act (“CCPA”) regarding the information collected on them. The Oakmark Funds honor these rights and have dedicated processes and mechanisms to reply to consumer requests to exercise their rights. Consumers have the right to:

- Know what NPI is being collected;
- Know to whom NPI is being disclosed;
- Access or obtain the NPI collected;
- Data portability;
- Correct or rectify the NPI collected;
- Delete NPI; and
- Restrict or object to the processing of NPI (“opt out”).

For further protection, we restrict access to shareholder NPI to those employees who need that information to service your account. We maintain physical, electronic and procedural safeguards that comply with applicable federal and state standards to guard NPI, and we monitor such measures. We also have adopted an Identity Theft Prevention Program with procedures and controls reasonably designed to ensure the protection and proper disposal of shareholder account information obtained by us. We also require our affiliates and service providers that maintain shareholders’ NPI to adopt and implement safeguards to protect that information. We will continue to adhere to these privacy policies and practices even after an account is closed or becomes inactive.

We collect cookies from our websites to help improve the online experience for users. Each cookie is a small text file that the website downloads onto a user’s device. The cookies we use contain information that identifies your computer and stores data about your visits to our websites during and after your visit.

- Analytical/performance cookies allow us to identify how and when pages of our sites are visited, identify our visitors’ technology preferences and ensure that our websites are working properly. For those purposes, we use cookies set by Google Analytics (utma, utmb, utmc, utmt, and utmz). This information is compiled to help make improvements to our websites. To read more about this third-party cookie, including the provider’s privacy statement, please visit [www.google.com/analytics](http://www.google.com/analytics).
- Session cookies allow the site to ‘remember’ content from page to page. These cookies expire when the user leaves the site or closes the browser.
- Log cookies are collected to optimize page load timing in our websites (sometimes referred to as real user monitoring or RUM). We use New Relic to collect those cookies when session tracking in end-user browsers. To read more about this third-party cookie, please visit [www.docs.newrelic.com/docs/browser/new-relic-browser](http://www.docs.newrelic.com/docs/browser/new-relic-browser).

Most browsers allow you to accept or reject all cookies or to accept only certain types of cookies. To manage cookies in the way that best meets your needs or choose to disable cookies, we invite you to change your browser settings

- Internet Explorer™: Tools Menu > Internet Options > Confidentiality. See <http://windows.microsoft.com/en-us/windows-vista/Block-or-allow-cookies>
- Safari™: Safari Menu > Preferences > Confidentiality. See [http://support.apple.com/kb/PH17191?viewlocale=en\\_US](http://support.apple.com/kb/PH17191?viewlocale=en_US)
- Chrome™: Chrome Menu (tools) > Settings > Display advanced settings > Confidentiality > Content settings > Cookies. See <https://support.google.com/chrome/answer/114662>
- Firefox™: Tools menu > Options > Privacy > History > Cookies. See <https://support.mozilla.org/en-US/kb/enable-and-disable-cookies-website-preferences>
- Opera™: Preferences > Advanced > Cookies. See <http://help.opera.com/Windows/10.20/en/cookies.html>

Consumers can send their request to our privacy officer at [dataprivacy@harrisassoc.com](mailto:dataprivacy@harrisassoc.com) or by filling out an [online form](#) or mailing a letter to: Oakmark Funds, Privacy Officer, 111 S. Wacker Dr. #4600, Chicago, IL 60606, USA. Questions about the policy or requests for further information should be directed to this person. In some cases, we may need to ask for proof of identification before the request can be processed. Harris will inform the individual if he/she needs to verify his/her identity and the documents it requires.

**Oakmark Units of the Goldman Sachs Financial Square Treasury Solutions Fund. Administration Shares. Privacy Notice**

Harris Associates L.P. ("Harris") is the Administrator for the Oakmark Units of the Goldman Sachs Financial Square Treasury Solutions Fund, Administration Shares. Harris considers the protection of your NPI a priority.

**Types of Information Gathered.** To provide you with individualized service, we collect certain NPI about you from information you provide on applications and other forms (such as your address and Social Security number) and information about your transactions (such as purchases, redemptions and account balances). We may also collect such information through your account inquiries by mail, electronically or by telephone.

**Information Shared.** We do not disclose any NPI about you, except as permitted by law. In an effort to continue to tailor our products and services to meet your investing needs and to effect transactions you request or authorize, we may disclose the information we collect, as described above, to companies that perform administrative or marketing services on our behalf, including financial service providers such as custodians, transfer agents, administrative and marketing service providers such as printers and mailers, and our affiliates to enhance customer communications, services and products. These companies will use this information only for the services for which we hired them, and are not permitted to use or share this information for any other purpose.

**Policies and Procedures.** We restrict access to your NPI to those employees who need to know that information to service your account. We also maintain physical, electronic and procedural safeguards that comply with applicable federal and state standards to protect your NPI, and we monitor such measures. We have also adopted an "Identity Theft Prevention Program" with procedures and controls reasonably designed to ensure the protection and proper disposal of shareholder account information obtained by us.

For questions about this policy, or for additional copies of this notice, please send us an email using the "Contact Us" link at [Oakmark.com](http://Oakmark.com), write to us at P.O. Box 219558, Kansas City, MO 64121-9558, or call us at 1-800-OAKMARK (625-6275).