

IRA TRANSFER/DIRECT ROLLOVER OF ASSETS FORM



- Use this form **and** the Oakmark IRA Application & Adoption Agreement if 1) you are transferring IRA assets from another IRA custodian into a **new** Oakmark IRA or 2) you are directly rolling over retirement plan assets into a **new** Oakmark IRA.
- Use this form **only** if 1) you are transferring IRA assets from another IRA custodian into an **existing** Oakmark IRA or 2) you are directly rolling over retirement plan assets into an **existing** Oakmark IRA.

Mail to: The Oakmark Funds / P.O. Box 219558 / Kansas City, MO 64121-9558
Phone: 1-800-OAKMARK (1-800-625-6275)

1. Investor Information (Please print)

Print Full Name

Social Security Number

- Check the box and leave the rest of *this Section* blank if you have completed and attached the *IRA Application & Adoption Agreement*.

Street City State Zip Code

E-mail

Daytime Telephone Number

Date of Birth (MM/DD/YYYY)

2. Transfer Assets FROM Current IRA Custodian or Retirement Plan Account(s)

Name of Current Custodian/Trustee or Company/Plan Administrator for direct rollovers

Attn: Mr./Ms.

Street City State Zip Code

Daytime Telephone Number

Fund Name/Fund Number (if applicable)

Account Number at Current Custodian

3. Instructions to Current IRA Custodian or Retirement Plan Administrator

Current IRA Custodian/Plan Administrator, please transfer/rollover assets from the above account(s) in cash according to the following instructions:

a. Transfer/Direct Rollover (Check one box below and fill in any necessary information):

- The total amount in my Account
- _____% and retain the balance.
- \$_____ and retain the balance.

b. Transfer/Direct Rollover (Check one box below):

- Transfer from a Traditional IRA
- Transfer from a Roth IRA
- Transfer from a SEP/SARSEP IRA
- Transfer from a SIMPLE IRA
- Direct rollover from a qualified retirement plan

c. Make check payable to:

The Oakmark Funds
FBO (Client Name)

Mail to:

The Oakmark Funds
P.O. Box 219558
Kansas City, MO 64121-9558

Recommendations for the Investor from The Oakmark Funds

1. Contact your current custodian or plan administrator to:

- confirm that this form along with Oakmark's Letter of Acceptance is sufficient.
- determine if a signature guarantee is required on this form.
- verify that they have completed all necessary paperwork to ensure the timely transfer of assets.
- satisfy this year's Required Minimum Distribution (RMD) before the transfer is made if you are 70½ or older.

2. Attach a copy of your most recent account statement from your current custodian or plan administrator to this form

4. Transfer Assets TO this Account (Check one box)

- Traditional IRA* SEP (Simplified Employee Pension) IRA** Roth IRA***

* You may transfer to a Traditional IRA from a SIMPLE IRA but not until at least 2 years after the first contribution to the SIMPLE IRA account. You may ONLY transfer a qualified retirement plan to a Traditional IRA. You may NOT transfer to a Traditional IRA from a Roth IRA.

** You may NOT transfer from a Roth IRA to a SEP IRA.

*** Transfers to a Roth IRA are possible from another Roth IRA, or, if the Roth IRA owner meets eligibility requirements, from a Traditional IRA, from a SEP IRA, or from a SIMPLE IRA (but not until at least 2 years after the first contribution to a SIMPLE IRA account). A transfer from a non-Roth IRA will trigger federal income tax on the taxable amount transferred from the other IRA.

5. Investment Instructions to the Oakmark Funds (Check one box)

- New IRA Account:** Invest the transferred amount in accordance with the investment instructions in the attached *IRA Application & Adoption Agreement (skip ahead to section 6)*.
- Existing IRA Account:** Invest the transferred amount as indicated below. (If you are adding any new Oakmark Funds to your existing IRA, please specify the allocation amount below and attach a completed *Add-A-Fund Form*.)

Fund Name/Fund Number:	Must total 100%		Account Number
Oakmark Fund (110)	_____ %	OR \$ _____	_____
Oakmark Select Fund (808)	_____ %	\$ _____	_____
Oakmark Equity & Income Fund (810)	_____ %	\$ _____	_____
Oakmark International Fund (109)	_____ %	\$ _____	_____
Oakmark International Small Cap Fund (811)	_____ %	\$ _____	_____
Oakmark Global Fund (1674)	_____ %	\$ _____	_____
Oakmark Global Select Fund (2710)	_____ %	\$ _____	_____

Oakmark units of:

Federal Portfolio (Money Market-2712) _____ % OR \$ _____ _____

6. Signature of Investor (Required)

I acknowledge that I have sole responsibility for my investment choices and that I have received a current prospectus and IRA Disclosure Statement and Custodial Agreement which I have been advised to read carefully before investing.

I understand that the requirements for a valid transfer to a Traditional IRA, SEP IRA, or Roth IRA are complex and that I have the responsibility for complying with all requirements and for the tax results of any such transfer.

I certify to the current IRA custodian or trustee that I have established (or will establish) a successor Individual Retirement Custodial 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.

 X

Signature of Investor

Date

7. Acceptance by New Custodian (Completed by new Custodian)

State Street Bank and Trust Company agrees to accept transfer of the above amount for deposit to the Investor's Individual Retirement Custodial Account, and requests the liquidation and transfer of assets as indicated above.

By

Date

Revised 1/08