

1. Instructions

Questions?

1-800-OAKMARK
(625-6275)

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

Transfers and direct rollovers of IRA 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 Publication 590.

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

- Use this form and the [IRA Application & Adoption Agreement](#) to:
 - 1) Transfer IRA assets from another IRA custodian to a *new* Oakmark IRA; or
 - 2) Roll over retirement plan assets directly to a *new* Oakmark IRA.
- Use *only* this form to:
 - 1) Transfer IRA assets from another IRA custodian to an *existing* Oakmark IRA; or
 - 2) Roll over retirement plan assets directly to an *existing* Oakmark IRA.
- Oakmark will initiate the transfer directly with your current custodian or plan administrator by sending this form and our Letter of Acceptance to act as the new custodian of your IRA assets to the address you provide in [Section 4](#).
- To transfer more than one account, please complete an additional [IRA Transfer/Direct Rollover of Assets Form](#).
- 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;
 - 4) Satisfy this year's Required Minimum Distribution (RMD) before the transfer is made if you are 70½ or older.
- 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. Registration

Owner's Name (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 - *P.O. Box is acceptable*

City

State

Zip Code

4. Information About Your Current IRA 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 IRA Custodian or Plan Administrator

A. Type of IRA. Check one box:

- Liquidate and transfer from my Traditional IRA
- Liquidate and transfer from my Roth IRA
- Liquidate and transfer from my SEP/SARSEP IRA
- Liquidate and transfer from my SIMPLE IRA
- Liquidate and perform a rollover from my qualified retirement plan

B. Liquidation/Transfer Amount from Account Listed in Section 4. Check one box:

- Liquidate and transfer all assets
- Liquidate and transfer only the following percentage: _____ %
- Liquidate and transfer only the following dollar amount: _____

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 70½ 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 to Current IRA 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:

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
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6. Type Of IRA You Are Transferring To

Check one box:

- 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. If you are 70½ or older, please contact your current custodian to ensure you have satisfied your RMD prior to transferring your account.
- 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. If you are 70½ or older, please contact your current custodian to ensure you have satisfied your RMD prior to transferring your account.

Select one option:

- Transfer assets to a new Oakmark IRA. Complete and attach the [IRA Application & Adoption Agreement](#). Skip to [Section 8](#).
- Transfer assets to new or existing Fund(s) under my Oakmark IRA account number: _____ . Complete [Section 7](#).

7. Investment

Minimum Amounts for New Funds:

Investor: \$1,000
 Advisor: \$100,000
 Institutional: \$1,000,000
 Money Market: \$1,000

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

	Share Class	Initial Investment	Percentage Must equal 100%	Cash Distribution Option*
Oakmark Fund	_____	_____	%	<input type="checkbox"/>
Oakmark Select Fund	_____	_____	%	<input type="checkbox"/>
Oakmark Equity & Income 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 UNITS OF: Financial Square Treasury Solutions Fund	_____	_____	%	<input type="checkbox"/>
Total Investment:		<input type="text"/>	<input type="text"/> %	

Fees: If you are transferring 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. Please make your check payable to the Oakmark Funds.

One-Time Setup Fee: \$5.00 per Fund account
Annual Maintenance Fee: \$10.00 per Fund account, maximum of \$20.00 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 and the 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, Roth IRA, or SEP 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 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.

Signature

Date

9. Medallion Signature Guarantee

Oakmark does not require a STAMP2000 Medallion Signature Guarantee (MSG) stamp; however, please contact your current IRA 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 stamp.**

Place MSG Stamp Here

RETAIN A COPY OF THIS COMPLETED FORM FOR YOUR RECORDS