

1. Instructions

Questions?

1-800-OAKMARK
(625-6275)

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

Transfers and direct rollovers of SIMPLE 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 560.

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

- Use this form and the [SIMPLE IRA Application & Adoption Agreement](#) to transfer SIMPLE IRA assets from another SIMPLE IRA custodian to a *new* Oakmark SIMPLE IRA.
- Use *only* this form to transfer SIMPLE IRA assets from another SIMPLE IRA custodian to an *existing* Oakmark SIMPLE IRA.
- Do not use this form to transfer SIMPLE IRA assets to a Traditional or Roth IRA. Use the [IRA Transfer/Direct Rollover of Assets Form](#).
- Oakmark will initiate the transfer directly with your current custodian by sending this form and our Letter of Acceptance to act as the new custodian of your SIMPLE IRA assets to the address you provide in [Section 4](#).
- To expedite the transfer of your assets, please contact your current custodian 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 to this form.
- If you do not receive a confirmation statement detailing the transfer within 45 days, please call your current custodian 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 SIMPLE IRA

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

5. Instructions To Current SIMPLE IRA Custodian

A. 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: _____

B. Delivery Instructions to Current SIMPLE IRA Custodian

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:	For Overnight Delivery:
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 SIMPLE IRA You Are Transferring To

Check one box:

Transfer assets to a new Oakmark SIMPLE IRA. Complete and attach the **SIMPLE IRA Application & Adoption Agreement**. Skip to **Section 8**.

Transfer assets to new or existing Fund(s) under my Oakmark SIMPLE IRA account number: _____. Complete **Section 7**.

7. Investment

	Share Class	Initial Investment	Percentage <small>Must equal 100%</small>	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 SIMPLE 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 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 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).

Signature

Date

9. Medallion Signature Guarantee

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