



# INDIVIDUAL RETIREMENT TRANSFER OF ASSETS FORM

Please complete this form only if you are transferring assets directly to a new or existing CRM Funds IRA, converting from a Traditional IRA to a Roth IRA, transferring from an existing Roth IRA, rolling over a Roth IRA, or you are requesting a direct rollover from an employer sponsored plan. Please complete a separate form for each IRA you wish to transfer or for each qualified plan you are directly rolling over. If you are establishing a new CRM Funds IRA, this form must be preceded or accompanied by a completed Individual Retirement Custodial Account Adoption Agreement. Transfers may take 3 to 5 weeks to complete after your paperwork is received in good order.

### For Additional Copies or Assistance

If you need additional copies of this form, or would like assistance completing it, please call the CRM Funds at **(800) 276-2883**.

### Instructions

- If you are establishing a new CRM Funds IRA, this form must be preceded or accompanied by a completed Individual Retirement Account Adoption Agreement.
- Mail this Transfer Form to:  
**CRM Funds**  
**c/o Ultimus Fund Solutions, LLC**  
**PO Box 541150**  
**Omaha, NE 68154**
- Retain a copy for your records.

## 1. ACCOUNT REGISTRATION

Please provide your primary legal address, in addition to any mailing address (if different).

Owner's Name (First, Middle, Last)

Social Security Number

Street Address

Date of Birth

City, State, Zip

Daytime Telephone

Email Address

Evening Telephone

- This is a new IRA account with the CRM Funds. I have completed and enclosed an IRA Application with this transfer form.
- This is an existing IRA. Please apply transfer proceeds to my account number: \_\_\_\_\_

## 2. CURRENT IRA CUSTODIAN/TRUSTEE INFORMATION

Name of Current Custodian or Trustee

Account Name

Street Address

Account Number

City, State, Zip

Telephone Number of Current Custodian

**Please attach a copy of the most recent statement for this account.**

### 3. TRANSFER INFORMATION

Please transfer assets from the above account to First National Bank. Transfer should be according to the following instructions:

**This transfer is a: (check one)**

- Full Transfer. Please liquidate all assets in my account.
- Partial Transfer Liquidate\$ \_\_\_\_\_ from my account.
- Transfer in kind:

Please transfer \_\_\_\_\_ shares of \_\_\_\_\_  
(Fund Name)

**This transfer should be made: (check one)**

- Immediately
- Upon maturity (if applicable). Maturity date is: \_\_\_\_\_  
(Please return this form 2 weeks prior to maturity)

**The type of account I am transferring from is a: (check one)**

- Traditional IRA
- Rollover IRA
- SEP IRA
- Roth IRA
- Roth Conversion IRA
- SIMPLE IRA
- Qualified Retirement Plan
- 403 (B) Plan/Tax Shelter Annuity
- Coverdell ESA
- Inherited Traditional Roth IRA
- Inherited Roth IRA

**The type of account I am transferring to is a: (check one)**

- Traditional IRA
- Rollover IRA
- SEP IRA
- Roth IRA
- Roth Conversion IRA
- SIMPLE IRA
- 403 (B) Plan
- Coverdell ESA
- Inherited Traditional Roth IRA
- Inherited Roth IRA

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

### 4. TAX WITHHOLDING ELECTION

Please complete this section only if you are transferring from another type of IRA to a Roth IRA

Under IRA rules, a transfer of a Traditional IRA, SEP IRA or SIMPLE IRA to a Roth IRA is treated for income tax purposes as a distribution of taxable amounts in the other IRA. IRS rules also require the custodian to withhold 10% of the conversion amount for federal income taxes unless no withholding has been elected. See IRS Publication 505, "Tax Withholding and Estimated Tax" for more information. State tax withholding may also apply if federal income tax is withheld.

- No income tax withholding     Withhold 10% for income tax     Withhold \_\_\_\_\_% for income tax

Important: Withholding income taxes from the amount transferred (instead of paying applicable income taxes from another source) may adversely impact the expected financial benefits of transferring from another IRA to a Roth IRA (consult your financial advisor if you have a question). Because of this impact, by electing to convert a Traditional IRA to a Roth IRA, you are deemed to elect no withholding unless you check the box above. In so doing, by signing this form, you acknowledge that you may be required to pay estimated tax and that insufficient payments of estimated tax may result in penalties.

### 5. CERTIFICATIONS AND SIGNATURES

I certify to the current IRA custodian or trustee that I have established a successor Individual Retirement Custodial Account meeting the requirements of the Internal revenue Code to which assets will be transferred, and I certify to First National Bank that the account from which assets are being transferred meets the requirements of the Internal Revenue Code and that the transfer satisfies the requirements for nontaxable transaction. **The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.**

\_\_\_\_\_  
IRA account Owner's Signature

\_\_\_\_\_  
Date

**Medallion Signature Guarantee\* (if required):**

Some Custodians/Trustees require a signature guarantee to transfer assets. Please check with your Custodian/Trustee to see if they require a medallion signature guarantee. Failure to obtain a required signature guarantee may result in a delay in the transfer of assets.

\*A signature guarantee can be obtained from a bank, broker-dealer, a credit union, a national securities exchange, savings association or other financial intermediaries that are members of an Approved Medallion Guarantee Program. A signature by a Notary Public is not acceptable as a signature guarantee.

Custodial Account for the individual set forth in Section 1 of this form and requests the transfer of assets as indicated above.

Accepted by: \_\_\_\_\_ Date: \_\_\_\_\_

**7. TRANSFER INSTRUCTIONS**

**Make check payable to:**

CRM Funds

FBO: \_\_\_\_\_

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

**Mail to:**

**CRM Funds**

c/o Ultimus Fund Solutions, LLC

PO Box 541150

Omaha, NE 68154

or

Via Overnight Delivery

4221 N. 203<sup>rd</sup> Street, Suite 100

Elkhorn, NE 68022

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**TO CONTACT US:**

**By Telephone**

Toll-free **(800) 276-2883**

Fax **(402) 963-9094**

**Internet**

[www.crmfunds.com](http://www.crmfunds.com)

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**CRAMER ROSENTHAL MCGLYNN, LLC**  
**CLIENT PRIVACY STATEMENT**

Cramer Rosenthal McGlynn, LLC's ("CRM") primary client goal is to protect your privacy. This privacy notice contains our policies relating to nonpublic information of clients, prospective clients and former clients.

In the conduct of our business, we may collect nonpublic, personal information from you and other sources such as:

- Information reported by you in investment management agreements, subscription documents, purchase applications and any other related documents or forms you filled out and sent to us in connection with your account;
- Information about your transactions with us, our affiliates or others (such as purchases, sales, account balances and average costs);
- Information used to verify your identity;
- Information about any bank account you use for transfers between your bank account and your CRM accounts; and
- Information we receive about you or your accounts as a result of your inquiries by mail, e-mail or telephone.

CRM does not share or disclose any nonpublic, personal information about its current or former customers, except as permitted by law, in order to service your account. We will also release information about you if you direct us to do so, if we are compelled to do so by law, or in connection with a government request or investigation.

In addition, in order to comply with state and federal laws, including anti-money laundering requirements, any information you provide in connection with your account is subject to verification by CRM or a third-party vendor contracted by us for this purpose, or both.

**Other Shared Information**

So that we can complete transactions you authorize or request and so that we can provide you information about CRM products, services and funds, we may disclose information we collect about you to companies that provide services to us, such as transfer agents or printers and mailers that prepare and distribute materials to you. Those companies are authorized to use that information only to perform services for which CRM hired them and are not permitted to use or disclose that information for any other purpose. All of the information we collect may be shared among CRM and its affiliates or related persons, all of which are engaged in the financial services business.

**Information Safeguarding**

CRM will internally safeguard your nonpublic, personal information by restricting access to only those employees who provide products or services to you or those who need access to your information to service your account. In addition, we will maintain physical, electronic and procedural safeguards designed to comply with federal and/or state standards to guard your nonpublic, personal information, and we review and adjust these safeguards periodically in response to advances in technology and industry developments.

**What You Can Do**

For your protection, you should not provide your account information, user name, or password to anyone. If you become aware of any suspicious activity relating to your account, it is your responsibility to contact us immediately. If you have any questions relating to this privacy policy or concerns about the way in which we have handled information about you, please do not hesitate to send us an email at [Legal@crmlc.com](mailto:Legal@crmlc.com).

**Use of Third-Party Service Providers**

From time to time, we may obtain certain information from third-party internet Service Providers who may collect technical information, including but not limited to browser type, internet address, pages visited, IP address, or operating system, in an effort to assist us in evaluating our client's online access to Firm information.

**We Will Keep You Informed**

As required by federal law, we will notify you of our privacy policy annually. We reserve the right to modify this policy at any time.

**This Privacy Notice relates to the following entities:**

Cramer Rosenthal McGlynn, LLC  
CRM Mutual Fund Trust