



# NON-QUALIFIED TRANSFER OF ASSETS FORM

Please complete this form only if you are transferring assets directly to a new or existing non-qualified (non-IRA) account with CRM Funds (the "Fund"). Please complete a separate form for each account you wish to transfer. 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 **(800) 276-2883** or go to [www.crmfunds.com](http://www.crmfunds.com).

## Instructions

1. If you are establishing a new account, please contact **(800) 276-2883** or go to [www.crmfunds.com](http://www.crmfunds.com) about additional information that must be submitted with this Form.
2. Mail this Transfer Form to:  
**CRM Funds**  
**P.O. Box 46707**  
**Cincinnati, OH 45246**  
Overnight Delivery:  
**CRM Funds**  
**225 Pictoria Dr, Suite 450**  
**Cincinnati, OH 45246**
3. Retain a copy for your records.

## CRM Funds Privacy Policy Statement

Your privacy is important to us. The CRM Funds is committed to maintaining the confidentiality, integrity and security of your personal information. When you provide personal information, the Fund believes that you should be aware of policies to protect the confidentiality of that information.

The Fund collects the following nonpublic personal information about you:

- Information we receive from you on or in applications or other forms, correspondence, or conversations, including, but not limited to, your name, address, phone number, social security number, assets, income and date of birth; and
- Information about your transactions with us, our affiliates, or others, including, but not limited to, your account number and balance, payments history, parties to transactions, cost basis information, and other financial information.

The Fund does not disclose any nonpublic personal information about our current or former shareholders to nonaffiliated third parties, except as permitted by law. For example, the Fund is permitted by law to disclose all of the information we collect, as described above, to our transfer agent to process your transactions. Furthermore, the Fund restricts access to your nonpublic personal information to those persons who require such information to provide products or services to you. The Fund maintains physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.

In the event that you hold shares of the Fund through a financial intermediary, including, but not limited to, a broker-dealer, bank, or trust company, the privacy policy of your financial intermediary would govern how your nonpublic personal information would be shared with nonaffiliated third parties.

## Anti-Money Laundering

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.

What this means for you: When you open an account, we will ask for your name, address, date of birth, social security number/ Tax ID number and other information that will allow us to identify you. We may also ask to see other identifying documents. Until you provide the information or documents we need, we may not be able to open an account or affect any additional transactions for you.

When opening an account for a foreign business, enterprise or a non-U.S. person that does not have an identification number, we require alternative government-issued documentation certifying the existence of the person, business, or enterprise.

For questions about these policies, or for additional copies of CRM Funds Privacy Policy Statement, please contact the Fund at **(800) 276-2883** or [www.crmfunds.com](http://www.crmfunds.com) or contact us at PO Box 46707 Cincinnati, OH 45246.

## 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 account. I have completed and enclosed an Application with this transfer form.
- This is an existing account. Please apply transfer proceeds to my account number: \_\_\_\_\_

## 2. INFORMATION ABOUT YOUR EXISTING ACCOUNT

Name of Firm Currently Holding Your Account \_\_\_\_\_

Account Name \_\_\_\_\_

Street Address \_\_\_\_\_

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

City, State, Zip \_\_\_\_\_

Firm Telephone Number \_\_\_\_\_

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

## 3. TRANSFER INFORMATION

Please transfer assets from the above account to CRM Funds. Transfers should be according to the following instructions (Note: If transferring from more than one fund within an account, please include details on a separate sheet of paper):

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

- Complete Transfer. Please liquidate all assets in my account.
- Partial Transfer. Liquidate \$ \_\_\_\_\_ from my account.
- Transfer in kind:  
Please transfer \_\_\_\_\_ shares of \_\_\_\_\_  
(Fund Name)

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

- Individual  
 Joint Tenant  
 Transfer on Death  
 Trust  
 Other

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

- Individual  
 Joint Tenant  
 Transfer on Death  
 Trust  
 Other

#### 4. CERTIFICATIONS AND SIGNATURES

I hereby authorize this liquidation and/or transfer in kind from my current financial institution to the account designated on this form. By signing below, I certify the information set forth herein is accurate and I have received and read a prospectus for the funds in which I am making my investment. To the extent that I have requested a redemption of mutual fund shares in connection with my transfer, I understand that such shares will be redeemed at the net asset value next determined after my transfer request is reviewed and determined to be in good order by the delivering firm. **The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.**

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

Some Firms require a Medallion Signature Guarantee to transfer assets. Please check with your current firm 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.

\_\_\_\_\_  
Account Owner's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Joint Owner's Signature (if applicable)

\_\_\_\_\_  
Date

\*A Medallion 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.

#### 5. TRANSFER INSTRUCTIONS

**Make check payable to:**

CRM Funds

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

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

**Mail this Transfer Form to:**

**CRM Funds**

PO Box 46707

Cincinnati, OH 45246

Or

Via Overnight Delivery

225 Pictoria Dr, Suite 450

Cincinnati, OH 45246

**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