

# ADVISORY RESEARCH

INVESTMENT MANAGEMENT

## IRA TRANSFER/CONVERSION REQUEST FORM

Use this form when redeeming and transferring funds from an existing IRA. You must complete this form along with your IRA Application, if this is a new account. Include a copy of your most recent account statement from the current Trustee or Custodian.

Please send completed form to:

**Regular Mail Delivery**

Advisory Research Funds  
PO Box 2175  
Milwaukee WI 53201-2175

**Overnight Delivery**

Advisory Research Funds  
C/O UMB Fund Services, Inc.  
235 W. Galena Street  
Milwaukee WI 53212

### CURRENT TRUSTEE/CUSTODIAN INFORMATION:

\_\_\_\_\_  
Trustee/Custodian Name (Bank, Mutual Fund, etc.)

\_\_\_\_\_  
Trustee/Custodian Street Address

\_\_\_\_\_  
Trustee/Custodian City, State, and Zip Code

### PART I: IRA OWNER INFORMATION

Name: \_\_\_\_\_ Taxpayer ID Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Primary Phone: \_\_\_\_\_ Email Address: \_\_\_\_\_

### PART II: TRANSACTION DESCRIPTION

Type of Transaction (Select One)

**Transfer (Nonreportable, Nontaxable Transaction)**

- ☐ Traditional (or SEP) IRA to Traditional (or SEP) IRA
- ☐ Roth IRA to Roth IRA
- ☐ SIMPLE IRA to Traditional IRA (or SEP)\*

Receiving Account Number\*\*: \_\_\_\_\_

\*\*If you are purchasing into a newly established IRA please enclose a completed IRA application.

**Conversion (Reportable, Taxable Transaction)**

- ☐ Traditional (or SEP) IRA to Roth IRA
- ☐ SIMPLE IRA to Roth IRA\*

Receiving Account Number\*\*: \_\_\_\_\_

\*\*If you are purchasing into a newly established IRA please enclose a completed IRA application.

\*At least two years must elapse from the time of your initial participation in your employer's SIMPLE IRA plan before you may transfer SIMPLE IRA assets to a Traditional (or SEP) IRA or convert SIMPLE IRA assets to a Roth IRA.

### PART III: LIQUIDATION INSTRUCTIONS

I authorize and direct the current IRA Trustee/Custodian to liquidate assets as follows and send all proceeds to the new IRA Custodian identified below (select one).

- ☐ Immediately liquidate all assets and send the cash proceeds to the new IRA Custodian.
- ☐ I wish to withdraw the requested amount on a pro rata basis across all investments.
- ☐ I wish to withdraw the requested amount from my investments as indicated in the chart below.

(Indicate from which investments the withdrawal should be taken. Percentages must be in whole numbers, e.g., 33%, not 33 1/3%.)

Investment Description	Share Class (if applicable)	Approximate Value	Withdrawal Amount or %	Liquidation or Distribute In-Kind
1.			\$ _____ or _____ %	<input type="checkbox"/> Liquidate Immediately and Distribute <input type="checkbox"/> Distribute In-kind
2.			\$ _____ or _____ %	<input type="checkbox"/> Liquidate Immediately and Distribute <input type="checkbox"/> Distribute In-kind
3.			\$ _____ or _____ %	<input type="checkbox"/> Liquidate Immediately and Distribute <input type="checkbox"/> Distribute In-kind
4.			\$ _____ or _____ %	<input type="checkbox"/> Liquidate Immediately and Distribute <input type="checkbox"/> Distribute In-kind
5.			\$ _____ or _____ %	<input type="checkbox"/> Liquidate Immediately and Distribute <input type="checkbox"/> Distribute In-kind
			TOTAL: \$ _____ or _____ %	

☐ Addendum attached for additional investments. If you need additional space to list investments, attach a separate sheet that includes all of the information requested above. Sign and date the sheet.

#### PART IV: TRANSFER/CONVERSION INSTRUCTIONS

☐ By Check: Make check payable as follows: Advisory Research Funds as Custodian  
FBO \_\_\_\_\_ ☐ Traditional (or SEP) ☐ Roth

Please mail check to:

<b><u>Regular Mail Delivery</u></b>	<b><u>Overnight Delivery</u></b>
Advisory Research Funds	Advisory Research Funds
PO Box 2175	C/O UMB Fund Services, Inc
Milwaukee WI 53201-2175	235 W. Galena Street
	Milwaukee WI 53212

☐ By Wire For wire instructions call 888.665.1414.

#### PART V: INSTRUCTIONS REGARDING REQUIRED MINIMUM DISTRIBUTION (RMD)

**Note: Complete this section only if the current (i.e., distributing) IRA is subject to required minimum distributions (RMDs).**

- ☐ I have already satisfied my RMD for the year.
- ☐ Send me my RMD then transfer/convert the remaining IRA balance as instructed above.
- ☐ Keep my RMD in the existing IRA and transfer the balance as instructed. (This option is **NOT** available for Conversions to Roth IRAs).
- ☐ Transfer my RMD to the new IRA Custodian. (This option is **NOT** available for Conversions to Roth IRAs).

Special Instructions: \_\_\_\_\_

#### PART VI: INVESTMENT SELECTION (RECEIVING IRA)

Name of Investment	Share Class (if applicable)	Allocation
1.		\$ _____ or _____ %
2.		\$ _____ or _____ %
		TOTAL: \$ _____ or _____ %

☐ Addendum attached for additional investment selections. If you need additional space to make investment selections, attach a separate sheet that includes all of the information requested above. Sign and date the sheet.

**PART VII: WITHHOLDING NOTICE AND ELECTION FORM (FORM W4P/OMB No. 1545-0074) DEPARTMENT OF TREASURY,  
INTERNAL REVENUE SERVICE**

Complete only if you are converting a Traditional, SEP, or SIMPLE IRA to a Roth IRA.

**NOTICE:** The distributions you receive from your IRA are subject to Federal income tax withholding unless you waive withholding. You may waive withholding on your IRA distribution by returning a signed and dated IRS Form W-4P, *Withholding Certificate for Pension or Annuity Payments*, or substitute Form W-4P to the Custodian. Withholding will apply to the total amount of the distribution, whether taxable or not. If you waive withholding on your IRA distribution, or if you do not have enough Federal income tax withheld from your IRA distribution, you may be responsible for payment of estimated tax. You may incur penalties under the estimated tax rules if your withholding and estimated tax payments are not sufficient. You are responsible for determining and paying all Federal, and if applicable, state and local taxes on distributions from all IRAs you own. If you do not waive withholding or elect an alternative withholding amount, ten percent will be withheld from your nonperiodic IRA distribution. Your election is valid until you revoke it. You may change your withholding election by completing another Form W-4P or substitute. If you are a non-resident alien you may not use Form W-4P to withhold income tax or to waive withholding.

**Election:** Unless you indicate a different withholding amount below or you waive withholding by indicating your election below, ten percent will be withheld from your IRA distribution.

- ☐ I do not want federal income tax withheld from my distribution from this account.  
☐ I want federal income tax of 10% withheld from my distribution from this account.  
☐ I want federal income tax of \_\_\_\_\_% (greater than 10%) withheld from my distribution from this account.

**PART VIII: ACKNOWLEDGEMENTS**

By signing this *IRA Transfer/Conversion Request Form*, I certify that the information I have provided is true and correct. I authorize the current IRA Trustee/Custodian to transfer/convert the IRA assets as instructed above. I understand that I am responsible for ensuring I am eligible to authorize this transfer/conversion and I assume all responsibilities for any consequences that arise as a result of my actions. I agree to indemnify and hold the IRA Trustee/Custodian harmless from any consequences related to executing my directions. I have been advised to seek competent legal and tax advice, and have not been provided any such advice from the IRA Trustee/Custodian.

Signature of IRA Owner (or other authorized person):

X \_\_\_\_\_ Date: \_\_\_\_\_

If the owner of the IRA account is a minor, the responsible person designated on the current IRA account needs to sign this form

**ACCEPTANCE:**

By signing below, UMB Bank, n.a, agrees to accept this transfer/conversion as instructed above.

Signature of Receiving IRA Custodian Representative:

X \_\_\_\_\_ Date: \_\_\_\_\_



Medallion signature guarantee (if required)

*Please check with your current trustee/custodian to determine if a Medallion signature guarantee is required to process this transfer.*

A Medallion signature guarantee may be obtained from any eligible guarantor institution. These institutions include U.S. banks, savings associations, credit unions and brokerage firms participating in the Securities Transfer Association Medallion Program. Approved programs currently include STAMP, SEMP and MSP. **A notary public stamp or seal is not acceptable.**