

# Osterweis Institutional Equity Fund IRA Transfer Form

If this is for a new IRA Account, an IRA Application must accompany this form

**Mail to:**

Osterweis Funds  
c/o U.S. Bancorp Fund Services, LLC  
P.O. Box 701  
Milwaukee, WI 53201-0701

**Overnight Express Mail to:**

Osterweis Funds  
c/o U.S. Bancorp Fund Services, LLC  
615 E. Michigan St., FL3  
Milwaukee, WI 53202-5207

There may be penalties for withdrawing certain investments before their maturity (i.e., certificates of deposit or annuities). Please contact your current custodian or plan administrator prior to submitting this form to determine the applicable time frames and penalties, if any, or if you need a signature guarantee in Section Six to order this transfer. U.S. Bancorp Fund Services, LLC will initiate your request upon receipt of this form.

## 1. Investor Information

\_\_\_\_\_  
First Name M.I. Last Name

\_\_\_\_\_  
Street Address City, State, Zip

\_\_\_\_\_  
Social Security Number

\_\_\_\_\_  
Daytime Phone Number Evening Phone Number

## 2. Instructions to Current IRA Custodian or Plan Administrator (Please include a copy of your current account statement.)

\_\_\_\_\_  
Current Custodian or Plan Administrator Account Number

\_\_\_\_\_  
Contact Person Contact Number

\_\_\_\_\_  
Street Address City, State, Zip

Consider this your authorization to liquidate my investment and transfer my Traditional IRA, SEP IRA, SIMPLE IRA, Roth IRA, or Inherited IRA, or to directly rollover my qualified retirement plan as directed below:

All Assets OR  \$ \_\_\_\_\_ or \_\_\_\_\_%

Please process this request:\*

Immediately OR  At Maturity \_\_\_\_\_ (month / day / year)

\* If no option is selected, please transfer all assets immediately.

Type of account being transferred/rolled-over:

- Pension     Profit Sharing Plan     401(k)     403(b)  
 Roth 401(k)     Roth 403(b)     Traditional IRA     SEP IRA  
 SIMPLE IRA     Roth IRA     Inherited IRA     Other

Original Roth IRA funding year (if applicable): \_\_\_\_\_

Original SIMPLE IRA funding year (if applicable): \_\_\_\_\_

Send the check representing the assets payable to "Osterweis Funds FBO [Shareholder's Name]" along with a copy of this form to the address at the top left of this page.

### 3. Investment Selection

The Osterweis Funds IRA Account Application must be completed to process this transfer if a new account is being established. The Fund(s) and the allocation(s) specified on the Application will be used if they are different from those indicated below.

	New	Existing	Account Number*	Amount	%
<input type="checkbox"/> Osterweis Institutional Equity Fund (1036)	<input type="checkbox"/>	<input type="checkbox"/>	_____	\$ _____	OR _____

### 4. Age 70½ Information

Please check one of the following:

I am under the age of 70½ and do not turn 70½ at anytime during this calendar year.

OR

I am age 70½ or older and understand that transferring my required minimum distribution amount (RMD) to a new IRA does not constitute a "distribution" and that I must still take my RMD by the required date. I further understand that I may rollover no part of my RMD, and there may be significant tax penalties if my RMD is not properly distributed.

### 5. Conversion of Traditional IRA to Roth IRA (Optional)

I am converting assets from a Traditional IRA to a Roth IRA. Upon receiving the assets from my current Custodian, I instruct the Fund's transfer agent to invest the proceeds into a new or existing Roth IRA account, as indicated in Section Two. I understand this may be a taxable event. By signing below I agree that I am solely responsible for all tax consequences of this conversion.

**X**

Owner's Signature\*

\_\_\_\_\_ Date (MM/DD/YYYY)

\*The Fund's Transfer Agent cannot process the conversion without a signature above.

## 6. Signature and Certification

I certify that I have established an IRA with the Osterweis Funds, of which U.S. Bank, NA, is the Custodian. I agree to contact my present Custodian from whom I am transferring to determine if specific documentation or a signature guarantee is required. I understand that I am responsible for determining my eligibility for all transfers or direct rollovers. I agree to hold the Custodian harmless against any and all situations arising from an ineligible transfer or direct rollover. I acknowledge that the Custodian or its agent cannot provide legal advice and I agree to consult with my own tax professional for advice.

I authorize U.S. Bancorp Fund Services, LLC, to act on my behalf in contacting the current custodian or plan administrator to facilitate the transfer of assets.

**X**

\_\_\_\_\_  
Signature of Owner (or Guardian if IRA Owner is a Minor)

\_\_\_\_\_  
Date (MM/DD/YYYY)

\_\_\_\_\_  
Signature Guarantee\* (for Transfers from Another Custodian)

**IMPORTANT:** *Please contact your current Custodian to determine if a signature guarantee\* is required.*

*\* A signature guarantee may be obtained from any eligible guarantor institution, as defined by the Securities and Exchange Commission. These institutions include banks, saving associations, credit unions and brokerage firms. The words "SIGNATURE GUARANTEED" must be stamped or typed near your signature. The guarantee must appear with the printed name, title, and signature of an officer and the name of the guarantor institution. Please note that a Notary Public Seal or Stamp is not acceptable.*

## 7. Acceptance/Custodian Authorization

U.S. Bank, NA, hereby accepts its appointment as Custodian of the above IRA account and upon receipt of assets, will deposit such assets in an Osterweis Funds IRA on behalf of the Depositor authorizing this transfer or direct rollover.

U.S. BANK, NA



For additional information please call toll-free (866) 236-0050 or visit us at [www.osterweis.com](http://www.osterweis.com).

## Privacy Notice

Requirements set forth by the Securities and Exchange Commission are designed to protect the privacy of individuals who obtain financial products or services for personal, family or household use. The regulations apply to all federally registered investment advisers, such as OCM. We would like to take this opportunity to let you know what OCM is doing to protect your privacy.

Osterweis Capital Management collects nonpublic information about you from the following sources:

- Information we receive about you on applications or other forms;
- Information you give us orally; and
- Information about your transactions with OCM or other financial service providers.

We do not disclose any nonpublic personal information about our customers or former customers without the customer's authorization, except as required by law or in response to inquiries from governmental authorities. We restrict access to your personal and account information to those employees who need to know that information to provide products and services to you. We also may disclose that information to unaffiliated third parties (such as to brokers or custodians) only as permitted by law and only as needed for us to provide agreed-upon services to you. We maintain physical, electronic and procedural safeguards to protect your nonpublic personal information.