

# 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. Bank Global Fund Services  
P.O. Box 701  
Milwaukee, WI 53201-0701

**Overnight Express Mail to:**

Osterweis Funds  
c/o U.S. Bank Global Fund Services  
615 E. Michigan St., FL3  
Milwaukee, WI 53202-5207  
(866) 236-0050

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. Bank Global Fund Services 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	_____ Email Address	
_____ Preferred Phone Number	_____ Alternative (Secondary) 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:

- |                                      |                                       |  |                                  |
|--------------------------------------|---------------------------------------|--|----------------------------------|
| <input type="checkbox"/> Pension     | <input type="checkbox"/> Rollover IRA | <input type="checkbox"/> 401(k)          | <input type="checkbox"/> 403(b)  |
| <input type="checkbox"/> Roth 401(k) | <input type="checkbox"/> Roth 403(b)  | <input type="checkbox"/> Traditional IRA | <input type="checkbox"/> SEP IRA |
| <input type="checkbox"/> SIMPLE IRA  | <input type="checkbox"/> Roth IRA     | <input type="checkbox"/> Inherited IRA   | <input type="checkbox"/> 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 Fund	1038		_____	\$ _____	OR _____
<input type="checkbox"/> Osterweis Strategic Income Fund	1039		_____	\$ _____	OR _____
<input type="checkbox"/> Osterweis Growth & Income Fund	1037		_____	\$ _____	OR _____
<input type="checkbox"/> Osterweis Emerging Opportunity Fund	6540	<input type="checkbox"/>	_____	\$ _____	OR _____
<input type="checkbox"/> Osterweis Total Return Fund	6541		_____	\$ _____	OR _____
<input type="checkbox"/> Osterweis Sustainable Credit Fund	5799		_____	\$ _____	OR _____
<input type="checkbox"/> Osterweis Short Duration Credit Fund	5798	<input type="checkbox"/>	_____	\$ _____	OR _____

\* If applicable.

### 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. Bank Global Fund Services, 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).**