



IRA Transfer Form

Use this form when redeeming and transferring funds from an existing IRA to a GaveKal Funds IRA. Please call 888.998.9890 for Fund information, literature, prices and GaveKal Funds account information. You must complete Sections 1 through 5 below and return this IRA transfer 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 return this form by regular mail:

GaveKal Funds
P.O. Box 2175
Milwaukee, WI 53201-2175

Send Overnight deliveries to:

GaveKal Funds
803 W. Michigan Street
Milwaukee, WI 53233

Please check with your current trustee/custodian to determine if a Medallion signature guarantee is required to process this transfer. You will receive a confirmation when the transfer has been completed.

Transfer coming from:

Name of Current Custodian (Bank, Mutual Fund, etc.)

Address

City State ZIP

Note for investors 70½ or older: you may take your required minimum distribution from any one or all of your IRA accounts. If you have not satisfied the minimum distribution requirements you may be required to take a minimum distribution from your present IRA before rolling over your retirement assets to a GaveKal Funds IRA. Consult your tax adviser regarding your distribution requirements.

1. Investor Information

Social Security Number Date of Birth

Name (First, Middle, Last)

Street Address

City, State, Zip Code
() ()

Daytime Telephone Evening Telephone
() ()

E-mail Address Fax Number

2. Please Transfer My IRA

Name of Current Trustee/Custodian (Bank, Mutual Fund, etc.)

Telephone Number

Account Number or Certificate of Deposit

\$
Approximate Value Maturity Date (if applicable)

If you hold a certificate of deposit*, transfer:

☐ Immediately ☐ At maturity

*Penalties may be assessed by your current trustee/custodian for early withdrawal.

Mutual Fund IRA Transfer

In order to expedite your transfer, please provide the CUSIP/Symbol of your current Mutual Fund IRA Investment. If you do not know the CUSIP/Symbol, please contact your current provider/Custodian.

CUSIP/Symbol

CUSIP/Symbol

Please attach a copy of your current account statement(s).

Type of plan you now have:

Type of plan you are transferring to:

☐ Traditional IRA

☐ Traditional IRA

☐ Rollover IRA

☐ Rollover IRA

☐ Roth IRA

☐ Roth IRA

☐ SEP-IRA

☐ SEP-IRA

☐ Other Employer Sponsored Plan:

Plan Type

☐ Other Roth Employer Sponsored Plan:

Plan Type

Are these assets inherited coming from a deceased participant account or beneficiary IRA?

☐ Yes ☐ No

Note: If these are inherited assets coming from an employer plan and you are a nonspouse beneficiary, please complete a Nonspouse Beneficiary Direct Rollover from an Employer's Plan Form. Call Shareholder Services at Toll Free Number to receive the form.

3. Your Fund Selection(s)

☐ **Invest the proceeds in my existing GaveKal Funds IRA**

Account Number _____

☐ **Invest the proceeds in my new GaveKal Funds IRA.**

If you are opening a new account, a completed and signed IRA Application must accompany this form.

Invest the assets of the IRA transfer as follows:

☐ GaveKal Knowledge Leaders Fund Advisor Class
\$ _____ or _____ %

Please note that the initial investment minimum is \$2,500.

4. Withholding Election

IRA regulations require that your current Custodian withhold Federal income taxes at the rate of 10% from the converted IRA amount unless you elect **not** to have withholding apply. If you do not elect to have Federal income tax withheld, you are liable for payment of Federal income tax on the taxable portion of distributions. You may also be subject to tax penalties under the estimated tax payment rules if your payments of estimated tax and withholding, if any, are not adequate. Please select from the following options:

☐ I do not want Federal income tax withheld on distributions from this account.

☐ I want Federal income tax withheld in the amount of 10% from distributions from this account.

☐ I want Federal income tax of _____ % (must be greater than 10%) withheld from distributions from this account.

Consult your tax adviser regarding the tax consequences for withholding amounts from your distribution for Federal tax payment. Amount withheld may only be refunded by the Internal Revenue Service. **The amount withheld may be subject to income tax and a 10% penalty.**

5. Signature

I understand that conversions from a Traditional IRA to a Roth IRA will be treated as a distribution and may be considered ordinary income for tax purposes. I have been advised to consult a tax professional and assume full responsibility for this conversion transaction and will not hold the GaveKal Funds, and their agents (including, but not limited to, the GaveKal Funds Custodian) liable for any adverse consequences that may result.

I understand that the resigning custodian will remit any income tax which has been withheld to the Internal Revenue Service on my behalf. I also understand that if I recharacterize, amounts previously withheld may only be refunded by the Internal Revenue Service. Amounts withheld may be subject to a 10% early withdrawal penalty in addition to income tax.

To current trustee/custodian:

Please consider this your authority to sell

\$ _____ or _____ %

of my assets in the account identified in Section 2 and prepare a check payable to:

GaveKal Funds:

FBO _____

P.O. Box 2175

Milwaukee, WI 53201-2175

If you prefer to wire funds directly, please call 888.998.9890 for further instruction.

It is my intention to transfer these assets to an IRA account with the above named Fund(s) for which UMB Bank, n.a. acts as Custodian. I certify that I have received and read the Prospectus(es) for the Fund(s) into which I am transferring my IRA.

Your Signature

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.)

Federal law requires us to obtain, verify and record information that identifies each person who opens an account. Therefore, when you open an account, you will be asked for your name, address, date of birth and other information that will allow us to identify you. You may also be asked to show your driver's license or other identifying documents.

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.**

6. Acceptance

(This portion is to be completed by UMB Bank, n.a., Custodian for GaveKal Funds.)

Acceptance: Please be advised that UMB Bank, n.a., has been appointed to serve as successor Custodian of this IRA.

Authorized Signature

Date