

# IRA ROLLOVER/TRANSFER FORM

For assistance in completing this form, please contact us at 800-395-3807. Please mail your completed and signed form to Brandes Funds, PO Box 4766, Chicago, IL 60680-4766 or fax to 312-557-3331.

Please print all information.

## 1 PROVIDE YOUR INVESTOR INFORMATION

FIRST NAME

MIDDLE INITIAL

LAST NAME

SOCIAL SECURITY NUMBER

DATE OF BIRTH

ADDRESS

ADDRESS

CITY/STATE/ZIP

TELEPHONE NUMBER (DAYTIME)

TELEPHONE NUMBER (EVENING)

E-MAIL ADDRESS

### SELECT YOUR ACCOUNT TYPE (Check only one)

Traditional IRA     SEP IRA (attach form 5305-SEP or 5305A-SEP)     Roth IRA     Simple IRA (attach form 5305-SA)

If you are opening a new account, please attach this completed and signed form to your completed and signed IRA Application.

If you are requesting a direct rollover, transfer or conversion of assets into an existing account, please list your account number below:

ACCOUNT NUMBER

PERCENTAGE ALLOCATION

ACCOUNT NUMBER

PERCENTAGE ALLOCATION

ACCOUNT NUMBER

PERCENTAGE ALLOCATION

ACCOUNT NUMBER

PERCENTAGE ALLOCATION

## 2 IDENTIFY YOUR CURRENT CUSTODIAN

NAME OF CURRENT CUSTODIAN

CONTACT PERSON OR DEPARTMENT AT CURRENT CUSTODIAN

PHONE NUMBER

ADDRESS

ADDRESS

CITY/STATE/ZIP

**Please attach a copy of your most recent statement from your current custodian.**

**To avoid delays in completing your request, please read this section carefully.**

If you are transferring in cash from another financial institution, your current custodian may require additional paperwork. Your current custodian may also require that you contact them directly to authorize the liquidation of any securities. Written instructions on this form may not be sufficient to authorize the liquidation of securities. Failure to contact your current custodian may result in delays in processing your request.

The ownership of the account you are transferring should match the ownership of your Brandes Funds Trust account.

TO CURRENT CUSTODIAN: Please consider this your authority to send my current IRA or my distribution from my qualified retirement plan, Section 403(b) annuity, or Section 457 Plan to the Brandes Funds Trust.

**SELECT YOUR TRANSACTION TYPE (Check only one)**

- Transfer of Assets
- Conversion from a Traditional IRA to a Roth IRA
- Direct Rollover from a Qualified Plan account

\_\_\_\_\_  
CURRENT CUSTODIAN ACCOUNT REGISTRATION

\_\_\_\_\_  
CURRENT CUSTODIAN ACCOUNT NUMBER TO BE TRANSFERRED

\_\_\_\_\_  
MATURITY DATE (IF APPLICABLE)

**CHECK ONLY ONE:**

- Transfer mutual fund shares in-kind (note: money markets must be liquidated and transferred in cash)
- Liquidate All Shares and transfer Cash\*\*
- Liquidate \$ \_\_\_\_\_ or \_\_\_\_\_ % and transfer Cash\*\*

\*\* Please contact your current custodian. Your current custodian may require that you contact them directly to authorize the liquidation of any securities. Written instructions on this form may not be sufficient to authorize the liquidation of securities. Failure to contact your current custodian may result in delays in processing your request.

**DELIVERY INSTRUCTIONS:**

- Make Checks Payable To:  
Brandes Funds  
FBO (Client Name)  
Reference Number \_\_\_\_\_  
PO Box 4766  
Chicago, IL 60680-4766
- Overnight Mail:  
Brandes Funds  
FBO (Client Name)  
Reference Number \_\_\_\_\_  
Attn: Funds Center C5S  
801 South Canal Street  
Chicago, IL 60607

## SIGN YOUR NAME

I certify that I have received and read the prospectus for the Funds into which I am transferring my assets. I acknowledge that I have adopted an IRA with The Northern Trust Company as successor custodian and I agree only to transfer those assets which can be held in such accounts as described in the relevant Custodial Agreement. I certify that none of the assets to be transferred include any minimum required distribution amounts.

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SIGNATURE

PRINTED NAME

DATE

## MEDALLION STAMP:

Contact your current custodian to determine if a Medallion STAMP Signature Guaranteed will be required to complete your request.

CUSTODIAN'S ACCEPTANCE: Please be advised that The Northern Trust Company has been appointed to serve as successor custodian of this IRA.



Jacob Banks

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THE NORTHERN TRUST COMPANY AUTHORIZED SIGNATURE

PRINTED NAME