



# INDIVIDUAL RETIREMENT TRANSFER OF ASSETS FORM

Please complete this form only if you are transferring assets directly to a new or existing Westwood Funds IRA, converting from a Traditional IRA to a Roth IRA, transferring from an existing Roth IRA, rolling over a Roth IRA, or you are requesting a direct rollover from an employer sponsored plan. Please complete a separate form for each IRA you wish to transfer or for each qualified plan you are directly rolling over. If you are establishing a new Westwood Funds IRA, this form must be preceded or accompanied by a completed Individual Retirement Custodial Account Adoption Agreement. Transfers may take 3 to 5 weeks to complete after your paperwork is received in good order.

### For Additional Copies or Assistance

If you need additional copies of this form, or would like assistance completing it, please call the Westwood Funds at **877.386.3944**.

### Instructions

- If you are establishing a new Westwood Funds IRA, this form must be preceded or accompanied by a completed Individual Retirement Account Adoption Agreement.
- Mail this Transfer Form to:  
**Westwood Funds**  
**PO Box 541150**  
**Omaha, NE 68154**
- Retain a copy for your records.

## 1. ACCOUNT REGISTRATION

Please provide your primary legal address, in addition to any mailing address (if different).

Owner's Name (First, Middle, Last)	Social Security Number
Street Address	Date of Birth
City, State, Zip	Daytime Telephone
Email Address	Evening Telephone

- This is a new IRA account with the Westwood Funds. I have completed and enclosed an IRA Application with this transfer form.
- This is an existing IRA. Please apply transfer proceeds to my account number: \_\_\_\_\_

## 2. CURRENT IRA CUSTODIAN/TRUSTEE INFORMATION

Name of Current Custodian or Trustee	Account Name
Street Address	Account Number
City, State, Zip	Telephone Number of Current Custodian

**Please attach a copy of the most recent statement for this account.**

### 3. TRANSFER INFORMATION

Please transfer assets from the above account to First National Bank of Omaha. Transfer should be according to the following instructions:

**This transfer is a: (check one)**

- Full Transfer. Please liquidate all assets in my account.
- Partial Transfer Liquidate \$ \_\_\_\_\_ from my account.
- Transfer in kind:  
Please transfer \_\_\_\_\_ shares of \_\_\_\_\_  
(Fund Name)

**The type of account I am transferring from is a: (check one)**

- Traditional IRA
- Rollover IRA
- SEP IRA
- Roth IRA
- Roth Conversion IRA
- SIMPLE IRA
- Qualified Retirement Plan
- 403 (B) Plan/Tax Shelter Annuity
- Coverdell ESA
- Inherited Traditional IRA
- Inherited ROTH IRA

**This transfer should be made: (check one)**

- Immediately
- Upon maturity (if applicable). Maturity date is: \_\_\_\_\_  
(Please return this form 2 weeks prior to maturity)

**The type of account I am transferring to is a: (check one)**

- Traditional IRA
- Rollover IRA
- SEP IRA
- Roth IRA
- Roth Conversion IRA
- SIMPLE IRA
- 403 (B) Plan
- Coverdell ESA
- Inherited Traditional IRA
- Inherited ROTH IRA

I understand that the requirements for a valid transfer to a Traditional IRA or Roth IRA are complex and I acknowledge that I have the responsibility for complying with all requirements and for the tax results of any such transfer.

### 4. TAX WITHHOLDING ELECTION

Please complete this section only if you are transferring from another type of IRA to a Roth IRA

Under IRA rules, a transfer of a Traditional IRA, SEP IRA or SIMPLE IRA to a Roth IRA is treated for income tax purposes as a distribution of taxable amounts in the other IRA. IRS rules also require the custodian to withhold 10% of the conversion amount for federal income taxes unless no withholding has been elected. See IRS Publication 505, "Tax Withholding and Estimated Tax" for more information. State tax withholding may also apply if federal income tax is withheld.

- No income tax withholding     Withhold 10% for income tax     Withhold \_\_\_\_\_% for income tax

Important: Withholding income taxes from the amount transferred (instead of paying applicable income taxes from another source) may adversely impact the expected financial benefits of transferring from another IRA to a Roth IRA (consult your financial advisor if you have a question). Because of this impact, by electing to convert a Traditional IRA to a Roth IRA, you are deemed to elect no withholding unless you check the box above. In so doing, by signing this form, you acknowledge that you may be required to pay estimated tax and that insufficient payments of estimated tax may result in penalties.

## 5. CERTIFICATIONS AND SIGNATURES

I certify to the current IRA custodian or trustee that I have established a successor Individual Retirement Custodial Account meeting the requirements of the Internal revenue Code to which assets will be transferred, and I certify to First National Bank of Omaha that the account from which assets are being transferred meets the requirements of the Internal Revenue Code and that the transfer satisfies the requirements for nontaxable transaction. **The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.**

### Medallion Signature Guarantee\* (if required):

Some Custodians/Trustees require a signature guarantee to transfer assets. Please check with your Custodian/Trustee to see if they require a medallion signature guarantee. Failure to obtain a required signature guarantee may result in a delay in the transfer of assets.

\_\_\_\_\_  
IRA account Owner's Signature

\_\_\_\_\_  
Date

\*A signature guarantee can be obtained from a bank, broker-dealer, a credit union, a national securities exchange, savings association or other financial intermediaries that are members of an Approved Medallion Guarantee Program. A signature by a Notary Public is not acceptable as a signature guarantee.

Individual Retirement Custodial Account for the individual set forth in Section 1 of this form, and requests the transfer of assets as indicated above.

Accepted by: \_\_\_\_\_ Date: \_\_\_\_\_

## 6. CUSTODIAN ACCEPTANCE

First National Bank of Omaha agrees to accept the transfer of the above amount for deposit in a First National Bank of Omaha Individual Retirement Custodial Account for the individual set forth in Section 1 of this form and requests the transfer of assets as indicated above.

Accepted by: \_\_\_\_\_ Date: \_\_\_\_\_

## 7. TRANSFER INSTRUCTIONS

### Make check payable to:

#### Westwood Funds

FBO: \_\_\_\_\_

Account Number: \_\_\_\_\_

### Mail to:

#### Westwood Funds

PO Box 541150  
Omaha, NE 68154  
or

Via Overnight Delivery  
4221 N. 203<sup>rd</sup> Street, Suite 100  
Elkhorn, NE 68022

## TO CONTACT US:

### By Telephone

Toll-free 877.386.3944

### Internet

[westwoodfunds.com](http://westwoodfunds.com)

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## CUSTOMER PRIVACY NOTICE

<b>FACTS</b>	<b>WHAT DOES THE WESTWOOD FUNDS (the “Fund”) DO WITH YOUR PERSONAL INFORMATION?</b>
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<b>Why?</b>	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
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<b>What?</b>	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> <li>▪ Social Security Number</li> <li>▪ Assets</li> <li>▪ Retirement Assets</li> <li>▪ Transaction History</li> <li>▪ Checking Account Information</li> <li>▪ Purchase History</li> <li>▪ Account Balances</li> <li>▪ Account Transactions</li> <li>▪ Wire Transfer Instructions</li> </ul> <p>When you are <i>no longer</i> our customer, we continue to share your information as described in this notice.</p>
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<b>How?</b>	All financial companies need to share your personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers’ personal information; the reasons the Fund chooses to share; and whether you can limit this sharing.
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Reasons we can share your personal information	Does the Fund share?	Can you limit this sharing?
<b>For our everyday business purposes –</b> Such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes –</b> to offer our products and services to you	No	We don’t share
<b>For joint marketing with other financial companies</b>	No	We don’t share
<b>For our affiliates’ everyday business purposes –</b> information about your transactions and experiences	No	We don’t share
<b>For our affiliates’ everyday business purposes –</b> information about your creditworthiness	No	We don’t share
<b>For nonaffiliates to market to you</b>	No	We don’t share

<b>Questions?</b>	Call 833.637.2025
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Who we are	
<b>Who is providing this notice?</b>	Westwood Funds Ultimus Fund Distributors, LLC (Distributor) Ultimus Fund Solutions, LLC (Administrator)
What we do	
<b>How does the Fund protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. Our service providers are held accountable for adhering to strict policies and procedures to prevent any misuse of your nonpublic personal information.
<b>How does the Fund collect my personal information?</b>	We collect your personal information, for example, when you <ul style="list-style-type: none"> <li>▪ Open an account</li> <li>▪ Provide account information</li> <li>▪ Give us your contact information</li> <li>▪ Make deposits or withdrawals from your account</li> <li>▪ Make a wire transfer</li> <li>▪ Tell us where to send the money</li> <li>▪ Tell us who receives the money</li> <li>▪ Show your government-issued ID</li> <li>▪ Show your driver's license</li> </ul> We also collect your personal information from other companies.
<b>Why can't I limit all sharing?</b>	Federal law gives you the right to limit only <ul style="list-style-type: none"> <li>▪ Sharing for affiliates' everyday business purposes – information about your creditworthiness</li> <li>▪ Affiliates from using your information to market to you</li> <li>▪ Sharing for nonaffiliates to market to you</li> </ul> State laws and individual companies may give you additional rights to limit sharing.

Definitions	
<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>▪ <i>Westwood Management Corp., the investment adviser to the Fund, could be deemed to be an affiliate.</i></li> </ul>
<b>Nonaffiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies <ul style="list-style-type: none"> <li>▪ <i>Westwood Funds do not share with nonaffiliates so they can market to you.</i></li> </ul>
<b>Joint marketing</b>	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> <li>▪ <i>Westwood Funds do not jointly market.</i></li> </ul>