



# Account Ownership Change (NON-IRA)

Please use this form to make the following ownership changes to your non-IRA Ariel Investments account(s):

- From an Individual Account to a Joint Tenant Account
- From a Joint Tenant Account to an Individual Account because of the death of an account owner, divorce or other situation
- From an Individual or Joint Tenant Account to a Trust
- From an UGMA/UTMA Account to an Individual Account due to the minor reaching the age of majority
- UGMA/UTMA change of custodian

Once completed, mail this form to **Ariel Investment Trust, c/o U.S. Bank Global Fund Services, P.O. Box 701, Milwaukee, WI 53201-0701**. For overnight delivery, send to **Ariel Investment Trust, c/o U.S. Bank Global Fund Services, 615 East Michigan Street, Floor 3, Milwaukee, WI 53202-5207**. If you have any questions or need assistance filling out this form, please call us at **800.292.7435**.

If as a result of this change of ownership you would like to update the banking instructions associated with your account, please attach a voided check or deposit slip to this form. (Note: checks must be preprinted with your name and address. If none of the names on your voided check can be found on your new account registration, please complete Section 4. We cannot accept starter checks.)

Please print all items except signature(s).

## 1 CURRENT ACCOUNT REGISTRATION

Please provide the information exactly as it currently appears on your Ariel Investments account(s).

Account Owner / Minor / Trust

If applicable: Joint Account Owner / Adult Custodian / Trustee(s)

Account Number(s)

Mailing Address

City

State

Zip

## 2 NEW ACCOUNT REGISTRATION

Please complete only one section — A, B, C, D or E.

### A CHANGE FROM INDIVIDUAL ACCOUNT TO JOINT ACCOUNT

**Note:** All joint registrations will be registered as Joint Tenants with Right of Survivorship unless otherwise specified.

Name of Joint Account Owner

Social Security Number

Date of Birth

Mailing Address

City

State

Zip

**Please select one:** ☐ U.S. Citizen ☐ Resident Alien (must attach a copy of Alien ID, Green Card or Passport)

The current Account Owner and new Joint Account Owner must provide signatures in Section 3. The current Account Owner is required to obtain a signature guarantee in Section 4.

### B CHANGE FROM JOINT TENANT ACCOUNT TO INDIVIDUAL ACCOUNT

Name of Individual **Remaining** on Account

Social Security Number of **Remaining** Owner of Account

Name of Individual to **Remove** from Account

Social Security Number to **Remove** from Account

If this change is being made because one of the Account Owners is deceased, the living Account Owner must provide a certified copy of the death certificate. If required by law within your state of residency, you must also submit an inheritance tax waiver.

If this change is being made for reasons other than death of one of the Account Owners, all Account Owners must provide signatures in Section 3 and have their signatures guaranteed in Section 4.

## C CHANGE FROM INDIVIDUAL/JOINT TENANT ACCOUNT TO A TRUST ACCOUNT

A copy of the Trust Agreement must be attached.

Name of Trust

Social Security Number or Tax Identification Number

Date of Trust Agreement

Trustee's First Name

Middle Initial

Last Name

Social Security Number

Date of Birth

**Please select one:** ☐ U.S. Citizen ☐ Resident Alien (must attach a copy of Alien ID, Green Card or Passport)

Co-Trustee's First Name

Middle Initial

Last Name

Social Security Number

Date of Birth

**Please select one:** ☐ U.S. Citizen ☐ Resident Alien (must attach a copy of Alien ID, Green Card or Passport)

The current Account Owner(s) must sign in Section 3. If the current Account Owner(s) are the Sole Trustee(s) of the trust and the Social Security Number/Taxpayer Identification Number is not changing, then the current Account Owner(s)' signatures do not require a signature guarantee. Otherwise, all current Account Owner(s)' signatures must be signature guaranteed in Section 4. New Trustee(s) must sign in Section 3.

## D CHANGE FROM UGMA/UTMA ACCOUNT TO INDIVIDUAL ACCOUNT (MINOR HAS REACHED AGE OF MAJORITY)

Name of Minor

Social Security Number

Name of Custodian

**Instructions to the Custodian.**

- Provide your signature in Section 3 and obtain a signature guarantee in Section 4.

**Instructions to the Former Minor:**

- Please provide your signature in Section 3.

## E CHANGE OF UGMA/UTMA ACCOUNT CUSTODIAN

The **current** Custodian must provide a signature in Section 3 and obtain a signature guarantee in Section 4. The **new** Custodian must provide a signature in Section 3.

Name of New Custodian

Social Security Number

Date of Birth

**Please select one:** ☐ U.S. Citizen ☐ Resident Alien (must attach a copy of Alien ID, Green Card or Passport)

Please complete the below if you would like to change the address and/or telephone numbers of the account:

Mailing Address

City

State

Zip

Email Address

Daytime Phone

Evening Phone

### 3 SIGNATURE(S) AND OTHER REQUIRED INFORMATION

**Important: Please read before signing.**

- (a) By execution of this application, the account owner represents and warrants that (i) he has the full right, power and authority to make the investment applied for and (ii) he is a natural person of legal age in his state of residence. The account owner certifies that the Social Security or Taxpayer Identification Number and tax status set forth in the application is correct. The person or persons, if any, signing on behalf of the account owner represent and warrant that they are duly authorized to sign this application and purchase or redeem shares of the Fund on behalf of the account owner. Each person named in the registration must sign below.
- (b) I have read the applicable prospectus(es) and this application and agree to all their terms. If I am purchasing shares of the State Street Institutional U.S. Government Money Market Fund, I understand I will receive the prospectus with the confirmation of my purchase. I also agree that any shares purchased now or later are and will be subject to the terms of the Fund's prospectus as in effect from time to time. I hereby consent to the delivery of one copy of prospectuses, financial reports and other regulatory materials to all investors who share my same address. I understand that if I want to receive individual copies of materials, I can call 800.292.7435.
- (c) I acknowledge that Ariel is required by law to obtain and verify certain information. The account may not be opened if I do not provide this information. I further acknowledge that Ariel reserves the right to close my account, or take other reasonable steps, if it is unable to verify the accuracy of the information provided.
- (d) I acknowledge that this account is not being established for a foreign financial institution to receive deposits from, or to make payments or other disbursements on behalf of, the foreign financial institution, or to handle other financial transactions related to such foreign financial institution. Foreign financial institutions include: (1) a foreign bank; (2) a foreign branch of a U.S. bank; (3) a business organized under a foreign law that, if it were located in the United States, would be a securities broker/dealer, futures commission merchant, introducing broker in commodities, or a mutual fund; and (4) a money transmitter or currency exchanger organized under foreign law.
- (e) I acknowledge under certain circumstances, if no activity occurs in an account within a time period specified by state law, my shares in the Fund(s) may be transferred to that state.
- (f) Under penalty of perjury, I certify that:
- (1) The Social Security or taxpayer identification number shown on this form is my correct taxpayer identification number, and
  - (2) I am not subject to backup withholding as a result of either being exempt from backup withholding, not being notified by the IRS of a failure to report all interest or dividends, or the IRS has notified me that I am no longer subject to backup withholding, and
  - (3) I am a U.S. person (including a U.S. resident alien), and
  - (4) I am exempt from FATCA reporting.

*(Cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding due to a failure to report all interest and dividends.)*

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Please sign **exactly** as name(s) appear on the **current** account registration.

X  
Signature (PRINT FORM AND SIGN) Title, if applicable Date  
Check one: ☐ Account Owner ☐ Trustee ☐ Custodian ☐ Authorized Signer ☐ Other \_\_\_\_\_

X  
Signature, if applicable (PRINT FORM AND SIGN) Title, if applicable Date  
Check one: ☐ Joint Account Owner ☐ Trustee ☐ Authorized Signer ☐ Other \_\_\_\_\_

Please sign as name(s) appear on the **new** account registration. If Section 2A was completed, the new Joint Account Owner must sign below. If Section 2C was completed, the new Trustee(s) must sign below. If Section 2D was completed, the Former Minor must sign below. If Section 2E was completed, the New Custodian must sign below.

X  
Signature (PRINT FORM AND SIGN) Title, if applicable Date  
Check one: ☐ New Joint Account Owner ☐ New Trustee ☐ New Custodian ☐ Former Minor

X  
Signature of Additional Trustee, if applicable (PRINT FORM AND SIGN) Title, if applicable Date

### 4 SIGNATURE GUARANTEE

A signature guarantee may be obtained from a bank, a member of a national securities exchange, savings and loan associations, credit union, broker or other acceptable financial institutions. Please note that a Notary Public stamp or seal will not be accepted.

\_\_\_\_\_  
Name of Institution Providing Signature Guarantee

X  
Officer Signature (PRINT FORM AND SIGN) Date

Place Signature Guarantee Stamp Here