



# IRA Transfer



Please use this form if you intend to transfer retirement assets to an Ariel Investments IRA. If you do not have an existing Ariel Investments account to receive the assets, please also complete an IRA Application and send it along with this form. If you have any questions or need assistance filling out this form, please call us at **800.292.7435**. Please consult your tax advisor for more information about any tax consequences. Once completed, mail this form to **Ariel Investment Trust, c/o U.S. Bancorp Fund Services, LLC, P.O. Box 701, Milwaukee, WI 53201-0701**. For overnight delivery, mail to **Ariel Investment Trust, c/o U.S. Bancorp Fund Services, LLC, 615 East Michigan Street, Floor 3, Milwaukee, WI 53202-5207**.

*Please print all items except signature(s).*

## 1 account owner

Please provide your contact information, Social Security number and date of birth.

First Name	Middle Initial	Last Name	
Mailing Address	City	State	Zip
Email Address	Daytime Phone	Evening Phone	
Social Security Number	Date of Birth		

## 2 current custodian/financial institution

Please enclose a copy of a recent account statement from your current custodian.

Name of Custodian or Financial Institution	Phone		
Mailing Address	City	State	Zip
Account Number with Current Custodian or Financial Institution			

## 3 type of account to be transferred

Please select one. If you are transferring more than one retirement account to Ariel, please complete a separate IRA Transfer form for each account.

- ☐ Qualified employer plan, such as a 401(k), 403(b) or 457 (please complete any additional forms required by your plan administrator)
- ☐ Traditional IRA
- ☐ Roth IRA\* or SIMPLE IRA\*
- ☐ Rollover IRA
- ☐ SEP-IRA
- ☐ Inherited IRA: Name of decedent \_\_\_\_\_ Date of death \_\_\_\_\_ Date of birth \_\_\_\_\_

\*Please provide the year that your Roth IRA or SIMPLE IRA was initially funded \_\_\_\_\_ and if applicable, the year of your most recent conversion from a Traditional IRA to a Roth IRA \_\_\_\_\_.

## 4 transfer instructions

Please select one. Ariel Investments will forward these instructions to your current custodian to initiate the transfer process.

An IRA has been established in my name at Ariel Investments. I direct you to:

- ☐ Liquidate all of the assets from my account
- ☐ Liquidate a portion of my account (please specify below):  
\$ \_\_\_\_\_ or \_\_\_\_\_ % of assets from my account in \_\_\_\_\_ fund at my current custodian  
(If you are transferring assets from more than one fund, please attach additional transfer instructions.)
- ☐ Transfer Ariel Investments shares in kind
- ☐ Transfer assets held in a certificate of deposit (select one):  
☐ Liquidate prior to maturity date. I am aware that I may incur a penalty for early withdrawal  
☐ Liquidate at maturity date of: \_\_\_\_\_ (Maturity date must be within 60 days. If maturity date is less than 15 days from the date of this request, you may want to contact your current custodian to prevent automatic reinvestment of the account.)

**IF NO SELECTION IS MADE ABOVE, PLEASE LIQUIDATE ALL ASSETS FROM MY ACCOUNT IMMEDIATELY.**

## 5 INFORMATION ABOUT YOUR ARIEL INVESTMENTS ACCOUNT

Please select one.

If you have an existing Ariel Investments IRA account where you would like these assets to be transferred, please list this account number below. If you do not have an Ariel Investments account, please enclose a completed IRA Application, a copy of a recent account statement from your existing account and any forms required by your current custodian.

☐ Establish a new Ariel Investments account. (please complete an IRA Application)

☐ Use my existing Ariel Investments account number \_\_\_\_\_

## 6 FUND SELECTION

The minimum initial investment for Investor Class shares is \$1,000. The minimum initial investment for Institutional Class shares is \$1 million. **Please make check payable to Ariel Investment Trust.** We cannot accept cash, cashier's checks, Treasury checks, money orders, starter checks, third-party checks, business checks or credit card checks. Please call us at 800.292.7435 for instructions on how to invest via wire.

Please indicate the amount to be invested in each Fund.

Fund (Share Class / Ticker Symbol / Fund #)	Invested Amount	or	% to be Invested
<b>Ariel Fund</b>			
Investor Class / ARGFX / 2220	\$1,000 minimum	\$ _____	_____ %
Institutional Class / ARAIX / 2230	\$1,000,000 minimum	\$ _____	_____ %
<b>Ariel Appreciation Fund</b>			
Investor Class / CAAPX / 2221	\$1,000 minimum	\$ _____	_____ %
Institutional Class / CAAIX / 2231	\$1,000,000 minimum	\$ _____	_____ %
<b>Ariel Focus Fund</b>			
Investor Class / ARFFX / 2222	\$1,000 minimum	\$ _____	_____ %
Institutional Class / AFOYX / 2232	\$1,000,000 minimum	\$ _____	_____ %
<b>Ariel Discovery Fund</b>			
Investor Class / ARDFX / 2224	\$1,000 minimum	\$ _____	_____ %
Institutional Class / ADYIX / 2234	\$1,000,000 minimum	\$ _____	_____ %
<b>Ariel International Fund</b>			
Investor Class / AINTX / 2225	\$1,000 minimum	\$ _____	_____ %
Institutional Class / AINIX / 2235	\$1,000,000 minimum	\$ _____	_____ %
<b>Ariel Global Fund</b>			
Investor Class / AGLOX / 2226	\$1,000 minimum	\$ _____	_____ %
Institutional Class / AGLYX / 2236	\$1,000,000 minimum	\$ _____	_____ %
<b>State Street Institutional U.S. Government Money Market Fund*</b>			
	\$1,000 minimum	\$ _____	_____ %
<b>TOTAL INVESTMENT</b>		<b>\$ _____</b>	<b>_____ %</b>

\*In order to invest in the State Street Institutional U.S. Government Money Market Fund, an account in one of our Funds must be established prior to, or in conjunction with, opening an account containing the State Street Institutional U.S. Government Money Market Fund. An investment in the State Street Institutional U.S. Government Money Market Fund is not a deposit of any bank and is not insured or guaranteed by the FDIC or any other government agency.

## 7 CONVERSION OF TRADITIONAL IRA TO ROTH IRA (OPTIONAL)

Please complete this section only if you are making a Roth IRA conversion.

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 5. 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. The Fund's Transfer Agent cannot process the conversion without a signature below.

☒ [Print Form & Sign Here](#)

Signature of Account Owner

Date

## 8 SIGNATURE

I acknowledge receipt of a prospectus for the above-named Fund(s) and agree to be bound by the terms of the prospectus. If I am purchasing shares of the State Street Institutional U.S. Government Money Market Fund, I understand that I will receive the prospectus with the confirmation of my purchase. I certify to the present IRA custodian that I have established an IRA meeting the requirements of Internal Revenue Code Section 408(a) or 408A (as the case may be) to which assets will be transferred, and certify to U.S. Bank, NA that the IRA from which assets are being transferred meets the requirements of Internal Revenue Code Section 408(a) or 408A.

☒ [Print Form & Sign Here](#)

Signature of Account Owner

Date

## 9 SIGNATURE GUARANTEE (IF REQUIRED)

Please contact your current custodian to inquire whether a signature guarantee is necessary to verify your signature and process the transfer. 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

Place Signature Guarantee Stamp Here

☒ [Print Form & Sign Here](#)

Officer Signature

Date

## 10 NOTICE TO CURRENT CUSTODIAN

This section is to be completed by U.S. Bank, NA.

A IRA has been established with Ariel Investments in the name of the above-referenced account owner. Ariel Investments' custodian, U.S. Bank, NA, accepts the transfer requested. Accordingly, please transfer cash or assets in kind as directed above, payable to the Account Owner listed in Section 1.

P.O. Box 701

Milwaukee, WI 53201-0701

Please contact an account representative at 800.292.7435 if you have any questions.

Accepted: U.S. Bank, NA



Joseph Neuberger