



## IRA Asset Transfer Authorization

### INSTRUCTIONS

This form is used to transfer an existing IRA to a CNI Charter Fund.

- If a new account is being opened, complete this IRA Asset Transfer Authorization form and an Individual Retirement Account Application.
- Attach a statement from your existing IRA to this form.
- If you are transferring a passbook/certificate type account or an insurance type IRA, the passbook, certificate or insurance policy must be submitted with this form.
- The custodian or trustee currently holding your IRA may require a "signature guarantee" or have other requirements. Please find out what your custodian or trustee requires to avoid delays in processing your transfer.
- Mail this completed form (along with your Individual Retirement Account Application, if opening a new account) to:

CNI Charter Funds  
P.O. Box 2175  
Milwaukee, WI 53201

*Or for Overnight Delivery to:*  
CNI Charter Funds  
803 W. Michigan St.  
Milwaukee, WI 53233

### 1 IRA REGISTRATION (Please print)

NAME \_\_\_\_\_

BIRTH DATE \_\_\_\_\_

SOCIAL SECURITY NUMBER \_\_\_\_\_

ADDRESS: NUMBER AND STREET (REQUIRED) \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

MAILING ADDRESS (IF DIFFERENT) \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

E-MAIL \_\_\_\_\_

TELEPHONE (DAY) \_\_\_\_\_

TELEPHONE (EVENING) \_\_\_\_\_

### 2 CURRENT IRA CUSTODIAN

INSTITUTION CURRENTLY HOLDING YOUR IRA (SHAREHOLDER SERVICING AGENT/TRANSFER AGENT, IF A MUTUAL FUND) \_\_\_\_\_

ADDRESS: NUMBER AND STREET \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

ACCOUNT NUMBER \_\_\_\_\_

ACCOUNT EXECUTIVE (IF ANY) \_\_\_\_\_

CUSTOMER SERVICE PHONE NUMBER \_\_\_\_\_

#### Type of Assets in IRA

- Mutual Fund Shares (Please complete Section 4), Fund Name: \_\_\_\_\_
- CD (Due on \_\_\_\_\_)  
Transfer:  Upon maturity. Form must be sent at least two weeks prior to maturity.  
 Immediately. Premature withdrawal penalty may apply.
- Money Market Deposit Account
- Securities (Please complete Sections 3 and 4)
- Other, please specify \_\_\_\_\_

### 3 INSTRUCTIONS

To Current Custodian or Trustee, please liquidate (check one box).

- All of the securities in my account.
- The Securities Described in Section 4.

Proceeds from the liquidation should be transferred to my CNI Charter Funds IRA by check or draft.

## **4 IDENTIFICATION OF SECURITIES TO BE LIQUIDATED**

Complete only if your existing traditional IRA contains stocks, bonds or other securities, which are to be liquidated in part. If additional space is needed to identify securities, please attach to this authorization a separate sheet of paper identifying the additional securities.

To Current Custodian or Trustee, my intentions are to execute a partial transfer by liquidation of the following assets:

Account Number or Security	Amount or shares
_____	_____
_____	_____
_____	_____

## **5 AUTHORIZATION**

I hereby agree to the terms and conditions set forth in this IRA Transfer Authorization, and acknowledge having established a CNI Charter Funds IRA through execution of an CNI Charter Funds IRA Application.

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

Signature Guarantee (if required by your current custodian or trustee):

\_\_\_\_\_  
NAME OF FIRM PROVIDING GUARANTEE

\_\_\_\_\_  
SIGNATURE OF OFFICER AND TITLE

**DO NOT COMPLETE THE SECTION BELOW**

## **INSTRUCTIONS TO RESIGNING TRUSTEE/CUSTODIAN**

Please forward a check or draft as directed in Section 3 above made payable to **CNI Charter Funds, FBO** \_\_\_\_\_

Please include the following reference number on the check: \_\_\_\_\_

Please forward the check or draft and accompanying documents, if any, to:

CNI Charter Funds  
P.O. Box 2175  
Milwaukee, WI 53201

*Or for Overnight Delivery to:*  
CNI Charter Funds  
803 W. Michigan St.  
Milwaukee, WI 53233

**If you have questions, please call 800-445-1341**

## **INSTRUCTIONS TO GAINING CUSTODIAN**

The Custodian hereby accepts its appointment as IRA Custodian, agrees to accept the transfer described above and, upon receipt, will apply the proceeds to a CNI Charter Funds IRA established on behalf of the individual named herein.

\_\_\_\_\_  
AUTHORIZED SIGNATURE

\_\_\_\_\_  
DATE