

IRA Transfer / Direct Rollover Request Form

IRA Transfer: Use this form **and** the Castle Focus Fund *IRA Account Application* if you are transferring your existing IRA assets from another custodian directly to a **new** Castle Focus Fund IRA. Use this form **only** if you are transferring IRA assets from another custodian to an **existing** Castle Focus Fund IRA.

Direct Rollover: Use this form **and** the Castle Focus Fund *IRA Account Application* if you are directly rolling over your existing employer - sponsored retirement plan assets to a **new** Castle Focus Fund IRA. Use this form **only** if you are directly rolling over to an **existing** Castle Focus Fund IRA.

Castle Focus Fund

To obtain a copy of the *IRA Account Application*, please visit www.castleim.com or call toll-free 1-877-743-7820. For any assistance, please call the number.

Please mail (or send overnight) the completed form to:

Castle Focus Fund
c/o Mutual Shareholder Services, LLC
8000 Town Centre Dr., Suite 400
Broadview Hts., OH 44147

1. Social Security Number

Social Security Number

2. Investor Information (Please Print or Type)

Name (First, Middle, Last)

Street

City, State, Zip code

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()

Daytime Telephone

Evening Telephone

3. Transfer/Direct Rollover Assets From This Account

Name of Current Trustee, Custodian or Plan Employer

Address

City, State, Zip

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Telephone Number

Account Number

• Please attach a copy of a recent account statement to help us locate your current account.

4. Instructions to Current IRA Custodian/Plan Employer

I have established an IRA with Castle Focus Fund. Please transfer (or direct rollover) assets, in **cash**, from the above account identified in Section 3 according to the instructions (a), (b), and (c).

(a) • **IRA Transfer From:** (check one if IRA Transfer)

- Traditional IRA Rollover IRA Roth IRA
 Roth Conversion IRA SEP-IRA

• **Direct Rollover From:** (check one if Direct Rollover)

- Employer - Sponsored Plan Other

(b) **Payment Information:**

- Immediately liquidate all assets and send the cash proceeds.
 Partial Liquidation. \$_____ or _____% and retain balance.
 Send cash proceeds of all investments at maturity.
 Send the assets at maturity for the investments listed below.

Investment

Maturity Date

- Other. Please attach additional transfer / direct rollover instructions.

Note. There may be a penalty for early liquidation.

(c) Please make check payable to Castle Focus Fund and send it, along with a copy of this form to the above address.

If you prefer to wire funds, please call 1-877-743-7820 for instructions.

Suggestion: Contact your current custodian (or plan employer) to determine that they have completed all necessary paperwork to ensure the timely transfer of assets.

5. Instructions to Castle Focus Fund (Please check one)

- New IRA Account:** Open a new Castle Focus Fund IRA account in accordance with the instructions in the attached *IRA Account Application*, and invest the transferred proceeds in this account.
 Existing IRA Account: Invest the transferred proceeds in my existing Castle Focus Fund account.

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Castle Focus Fund Investor Class Account Number

6. Signature of Investor (required)

I acknowledge that I have sole responsibility for my investment choices and that I have received a current prospectus which I have been advised to read carefully before investing.

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

I certify to the current IRA custodian, trustee or plan employer that I have established a successor Individual Retirement Custodial Account with the Castle Focus Fund for which US Bank, N.A. acts as its custodian, and to which assets will be transferred (or directly rolled over).

X

Signature of Investor (required)

Date

Signature Guarantee: Please check with your current Trustee/Custodian / Plan Employer to determine if a signature guarantee is required to process this transfer.

A signature guarantee may be obtained from any eligible guarantor institution. These institutions include U.S. banks, savings associations, credit unions and brokerage firms. **A Notary Public cannot provide a Signature Guarantee.**

Name of Guarantor Institution / Guarantee Stamp

Authorized Signature

Title

For Office Use Only. To be completed by US Bank, N.A., Custodian for Castle Focus Fund.

US Bank, N.A. agrees to accept custodianship and the transfer / direct rollover described above for the Castle Focus Fund IRA established on behalf of the above named individual. US Bank, N.A. accepts its appointment as successor custodian for the above IRA.

Authorized Signature

Date