

Use this Coverdell ESA Transfer Request Form to move ESA assets from one Coverdell ESA to another. You will need to complete a New Account Agreement if you do not already have an account established. If you have any questions regarding this form, please call Shareholder Services at 1-888-912-4562.

**PART I: INVESTOR INFORMATION (RECEIVING IRA) (\*DENOTES REQUIRED INFORMATION)**

Minor's Name\* (First, M.I., Last) Date of Birth\* Social Security Number \*

Responsible Individual's Name\* (First, M.I., Last) Date of Birth\* Social Security Number \*

Responsible Individual's Street Address (Physical Address)\* Apt # City\* State\* Zip Code\*

Mailing Address (if different than above) Apt # City State Zip Code

Daytime Phone\* Evening Phone

**PART II: CURRENT COVERDELL ESA TRUSTEE, CUSTODIAN OR ISSUER (PLEASE ATTACH A RECENT STATEMENT)**

Name of Current ESA Trustee/Custodian/Issuer\* Current ESA Account/Plan Number \*

P. O. Box\* Suite # City\* State\* Zip Code\*

Name of Contact\* Contact's Phone Number\*

\*Note: If you wish to have paperwork sent overnight, please provide the physical street address.

**PART III: TRANSFER INSTRUCTIONS**

- This is a new account; a completed New Account Agreement is attached.
- The proceeds of this transfer will purchase shares into my existing account as listed below.

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

**Transfer Allocation**

Indicate the approximate amount that will be transferred.

The minimum initial investment in the Fund is \$1,000 for Class A, Class C, and Investor Shares, \$100,000 for Institutional, and \$1,000,000 for R6 Shares.

Name of Investment	Share Class	Total Investment Amount
Fuller & Thaler Behavioral Small-Cap Equity Fund	A	%
Fuller & Thaler Behavioral Small-Cap Equity Fund	C	%
Fuller & Thaler Behavioral Small-Cap Equity Fund	Investor	%
Fuller & Thaler Behavioral Small-Cap Equity Fund	Institutional	%
Fuller & Thaler Behavioral Small-Cap Equity Fund	R6	%
Fuller & Thaler Behavioral Small-Cap Growth Fund	A	%
Fuller & Thaler Behavioral Small-Cap Growth Fund	C	%
Fuller & Thaler Behavioral Small-Cap Growth Fund	Investor	%
Fuller & Thaler Behavioral Small-Cap Growth Fund	Institutional	%
Fuller & Thaler Behavioral Small-Cap Growth Fund	R6	%
Fuller & Thaler Behavioral Mid-Cap Value Fund	A	%
Fuller & Thaler Behavioral Mid-Cap Value Fund	C	%
Fuller & Thaler Behavioral Mid-Cap Value Fund	Investor	%
Fuller & Thaler Behavioral Mid-Cap Value Fund	Institutional	%
Fuller & Thaler Behavioral Mid-Cap Value Fund	R6	%
Fuller & Thaler Behavioral Unconstrained Equity Fund	A	%
Fuller & Thaler Behavioral Unconstrained Equity Fund	C	%
Fuller & Thaler Behavioral Unconstrained Equity Fund	Institutional	%
Fuller & Thaler Behavioral Unconstrained Equity Fund	R6	%
Fuller & Thaler Behavioral Small-Mid Core Equity Fund	A	%
Fuller & Thaler Behavioral Small-Mid Core Equity Fund	Institutional	%
Fuller & Thaler Behavioral Micro-Cap Equity Fund	Institutional	%
		TOTAL: 100 %

**PART IV: LIQUIDATION INSTRUCTIONS**

I authorize and direct the current ESA Trustee, Custodian or Issuer to liquidate/transfer assets as follows (select one).

- Immediately liquidate all assets and send the cash proceeds to the new ESA Trustee/Custodian identified below.

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- Partially liquidate \$ \_\_\_\_\_ of the current ESA and send the proceeds to the new ESA Trustee/Custodian identified below.  
(Note to ESA Responsible Individual: Attach additional written liquidation instructions, if necessary.)

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- Transfer-in-kind (Fuller and Thaler Funds only)

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- Other (describe): \_\_\_\_\_

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Please send proceeds by check:

Make check payable as follows: Fuller & Thaler Funds: FBO \_\_\_\_\_  
(Investor's Name)

Please mail check to:

**Regular Mail Delivery**  
Fuller & Thaler Funds  
P.O. Box 46707  
Cincinnati, OH 45246-0707

**Overnight Delivery**  
Fuller & Thaler Funds  
225 Pictoria Drive, Suite 450  
Cincinnati, OH 45246

**PART V: ACKNOWLEDGEMENT**

By signing this *Coverdell ESA Transfer Request Form*, I certify that I am the Responsible Individual, the information provided is true, correct and complete, and the Trustee/Custodian may rely on what I have provided. I understand that I am responsible for ensuring I am eligible to authorize this transfer and I assume all responsibilities for any consequences as a result of my actions. I have been advised to seek competent legal and tax advice and have not been provided any such advice from the Trustee/Custodian. I will indemnify and hold the Trustee/Custodian harmless from any consequences related to executing my directions. The Trustee/Custodian agrees to accept this transfer as instructed above.

Signature of Responsible Individual:

X \_\_\_\_\_ Date: \_\_\_\_\_

**PART VI: NEW TECHNOLOGY MEDALLION SIGNATURE GUARANTEE STAMP**

**A New Technology Medallion Signature Guarantee Stamp is designed to protect the account from fraud.**

The following institutions are acceptable signature guarantors:

- Participants in good standing of the Securities Transfer Agents Medallion Program ("STAMP")
- Commercial banks which are members of the Federal Deposit Insurance Corporation ("FDIC")
- Trust Companies
- Firms which are members of a domestic stock exchange
- Eligible guarantor institutions qualifying under Rule 17Ad-15 of the Securities Exchange Act of 1934, as amended, that are authorized by charger to provide new technology medallion signature guarantee stamps (e.g., credit unions, securities dealers and brokers, clearing agencies and national securities exchanges)
- Foreign branches of any of the above

**Note:** The Transfer Agent cannot honor guarantees from notaries public, savings and loan associations, or saving banks.



**PART VII: LETTER OF ACCEPTANCE (TO BE COMPLETED BY NEW CUSTODIAN)**

By signing below, First National Bank of Omaha (the "Custodian") of the receiving ESA agrees to accept this transfer as instructed above.

Signature of Receiving IRA Custodian Representative: X \_\_\_\_\_ Date: \_\_\_\_\_

**MAILING INSTRUCTIONS**

Please send completed form to:

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Cincinnati, OH 45246-0707

**Overnight Delivery**  
Fuller & Thaler Funds  
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