

IRA and ESA Transfer Form

Homestead Funds is not providing any advice regarding whether the account holder should open an IRA with Homestead Funds.



Homestead
Funds

Use this form to move IRA or ESA account assets now held at a different custodian to Homestead Funds. **If you are transferring assets to a new Homestead Funds account, also complete and return an account application.**

Return your completed transfer form to Homestead Funds using the postage-paid envelope provided, or mail it to:

Regular Mail

Homestead Funds
c/o of Ultimus Fund Solutions, LLC
P.O. Box 46707
Cincinnati, OH 45246

Overnight Mail

Homestead Funds
c/o of Ultimus Fund Solutions, LLC
225 Pictoria Drive
Suite 450
Cincinnati, OH 45246

If you have a question about the form, call us at **800.258.3030**. For complete information about Homestead Funds and services, see the prospectus, which is available at homesteadadvisers.com or by calling the above toll-free number.

1. Ownership of Account Being Transferred

Tell us how the account you are transferring from is registered.

Owner/Minor's First Name

Middle Initial

Last Name

Social Security Number

Daytime Telephone Number (in case we have questions)

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Residential Street Address

City

State

Zip Code

Account Number(s) at releasing financial institution

If a CD, also write in the maturity date (mm/dd/yyyy)

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Account type. Check one:

☐ Traditional IRA ☐ Roth IRA ☐ Inherited Traditional IRA ☐ Inherited Roth IRA

☐ SEP IRA ☐ Education Savings Account (ESA)

☐ SIMPLE IRA

(We do not offer SIMPLE IRAs, so this must roll over to another IRA type with us. Please consult a tax advisor for more details.)

Be sure to sign your completed form in **Section 5**. Also contact your current financial institution to determine if they require a Medallion Signature Guarantee (MSG) Stamp in **Section 6**.

The account you are transferring to must be registered to the same individual (same name and Social Security Number) and classified as the same account type as the account you are transferring from.

◆ If an Inherited or Minor's Account

Decedent/Responsible Individual's First Name

Middle Initial

Last Name

Social Security Number

Daytime Telephone Number (in case we have questions)

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2. Current Financial Institution Address (where we should mail request)

Provide the name and address of the financial institution currently holding this account.

Mutual Fund or other Financial Institution Company Name

Mailing Address for Transfer Requests

City

State

Zip Code

Phone Number (if known)

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Account Representative (if known)

Please contact your current financial institution to verify the address that this request should be mailed to as it is common for financial institutions to have many addresses. If you provide the wrong address your transfer may not be completed.

3. Transfer Instructions

Write in the current account number and amount you are transferring from your current account to your Homestead Funds account. If you are transferring assets to a new Homestead Funds account, also complete and return an IRA or ESA Account Application.

Account Number at releasing financial institution

Type of transfer – must check one.

☐ Liquidate ☐ Transfer in kind

Amount to transfer – must complete one.

☐ All or \$ or shares

Description of Assets (CD, Mutual Fund, Brokerage)

Symbol or CUSIP (if applicable)

Transfer in kind is not common. These are transfers to/from omnibus accounts to/from regular accounts already invested in Homestead Funds. If you check this box, skip Section 4. Your investment allocations will stay the same.

Account Number at releasing financial institution

Type of transfer – must check one.

☐ Liquidate ☐ Transfer in kind

Amount to transfer – must complete one.

☐ All or \$ or shares

Description of Assets (CD, Mutual Fund, Brokerage)

Symbol or CUSIP (if applicable)

If you complete more than one account number in Section 3, each must match the registration and financial institution in Sections 1 & 2.

Account Number at releasing financial institution

Type of transfer – must check one.

☐ Liquidate ☐ Transfer in kind

Amount to transfer – must complete one.

☐ All or \$ or shares

Description of Assets (CD, Mutual Fund, Brokerage)

Symbol or CUSIP (if applicable)

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3. Transfer Instructions (continued)

If you are transferring Certificates of Deposit (CDs) only, indicate whether you want your current custodian to liquidate the CDs now or at maturity.

Check one (if applicable):

☐

Liquidate Immediately (for CDs only). If transferring CDs prior to maturity you may incur a penalty for early withdrawal.

☐

Liquidate at maturity (for CDs only). If transferring CDs at maturity, maturity date must be within 60 days of this request. If maturity date is less than 15 days, you may also want to your current custodian to prevent automatic reinvestment of the account.

4. Homestead Funds Account Information and Fund Selections

Tell us how the amount you are transferring to Homestead Funds should be invested once we receive your assets from the current financial institution.

You must complete Sections A and B.

A. Homestead Funds Account Information

Check one:

☐

Deposit proceeds in a new Homestead Funds account per the investment allocations below. (You must also complete and mail, with this form, the appropriate account application.)

☐

Deposit proceeds in an existing Homestead Funds account that matches the registration in **Section 1.**

Homestead Funds Account Number

**Make sure to complete
Sections A and B.**

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B. Fund Selections

You must also provide allocation instructions. **Choose one of two options below.**

If you choose *this option you must be working with a Homestead Funds representative* on an asset allocation plan and have or will be receiving the Asset Allocation Questionnaire. This fund selection is not meant to be a long-term strategy. It is meant to be a holding place for your assets while your asset allocation plan is completed. Generally you would indicate your full dollar amount for investment or 100%

Daily Income Fund (168) \$ or %

This option is for shareholders who are making their own fund selection. By choosing this option, you acknowledge that you have not received any investment recommendations or advice from Homestead Funds or any of its representatives, and are making these fund selections purely on the basis of your own independent research and decision making process.

You must provide allocation instructions. If you are working with a Homestead Funds Representative and have not yet received asset allocation guidance, you may choose the first option. If you are making your own fund selections, choose the second option and list the allocation next to each fund for which you are investing. If you would like to receive allocation guidance, please contact a representative at 800.258.3030.

Fund Name

Investment Allocation

Daily Income Fund (168) \$ or %

Short-Term Government Securities Fund (170) \$ or %

Intermediate Bond Fund (171) \$ or %

Short-Term Bond Fund (172) \$ or %

Stock Index Fund (174) \$ or %

Value Fund (176) \$ or %

Small-Company Stock Fund (178) \$ or %

International Equity Fund (180) \$ or %

Growth Fund (182) \$ or %

Total \$ or 100 %

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5. Signature

I authorize the transfer of assets to a Homestead Funds IRA or ESA and authorize Homestead Funds to process this request on my behalf.

Please check with your current financial institution to see if they require a signature guarantee in order to release the assets. If so, please also complete Section 6.

Account Owner's Signature

Date (mm/dd/yyyy)

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Or current responsible individual/custodian on both accounts, if applicable. Both responsible individuals/custodians need to be the same. Students may sign only if he or she has reached the age of majority under the laws of the student's state of residence and has advised the custodian in writing that he or she has assumed sole responsibility to exercise all powers and duties associated with the administration of the account.

Be sure to sign this section.
We cannot act on your instruction without your signature.

If a minor IRA or ESA account, the Responsible Individual must be the same at the current financial institution and Homestead Funds.

6. Medallion Signature Guarantee (MSG) Stamp

Medallion Signature Guarantee Stamps are required for some types of financial transactions. We do not require you to obtain a signature guarantee when you are transferring assets to Homestead Funds; however, the releasing institution may require a signature guarantee. This stamp can be obtained from any eligible guarantor, including banks, broker/dealers and credit unions.

Medallion Signature Guarantee

Instructions for Resigning Custodian

Homestead Fund's custodian will complete this acceptance agreement. As custodian for Homestead Funds IRA and Education Savings Account, First National Bank of Omaha, N.A. accepts the transfer request above. Please prepare a check, made payable to the Homestead Funds FBO (shareholder's name and account number) for the liquidation amount requested. Please mail a copy of this Transfer Form with the check.

Regular Mail

Homestead Funds
c/o of Ultimus Fund Solutions, LLC
P.O. Box 46707
Cincinnati, OH 45246

Overnight Mail

Homestead Funds
c/o of Ultimus Fund Solutions, LLC
225 Pictoria Drive
Suite 450
Cincinnati, OH 45246

For Bank Use Only

Authorized Custodial Signature

Date (mm/dd/yyyy)

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