

# **IRA & CESA Transfer Form**

### **Institutional Class**

If this is for a new IRA Account. an IRA Application must accompany this form.

Mail to: **Buffalo Funds** P.O. Box 701 Milwaukee, WI 53201-0701

Overnight Express Mail To: **Buffalo Funds** c/o U.S. Bank Global Fund Services c/o U.S. Bank Global Fund Services 615 E. Michigan St., FL3 Milwaukee, WI 53202-5207

### For additional information please call toll-free 1-800-492-8332 or visit us on the web at www.buffalofunds.com.

There may be penalties for withdrawing certain investments before their maturity (i.e., certificates of deposit or annuities). Please contact your current custodian or plan administrator prior to submitting this form to determine the applicable time frames and penalties, if any, or if you need a signature guarantee in Section 8 to order this transfer. U.S. Bank Global Fund Services will initiate your request upon receipt of this form.

1 Investor Information
FIRST NAME M.I. LAST NAME SOCIAL SECURITY NUMBER
ADDRESS CITY/STATE/ZIP  DAYTIME PHONE NUMBER EVENING PHONE NUMBER
2 Instructions to Current IRA Custodian or Plan Administrator  Please include a copy of your current account statement.
CURRENT CUSTODIAN OR PLAN ADMINISTRATOR  ACCOUNT NUMBER  CONTACT PERSON  CONTACT NUMBER
CITY/STATE/ZIP  Consider this your authorization to redeem my investment and transfer my Traditional IRA, SEP IRA, SIMPLE IRA, Roth IRA, or Inherited IRA, or to directly rollover my qualified retirement plan as directed below: *  All Assets OR   \$\text{\$\text{SIMPLE IRA, Roth } }\$
Please process this request:*  Immediately OR At Maturity (month / day / year)  * If no option is selected, please transfer all assets immediately.
3 Type of account being transferred/rolled-over
□ Pension □ Profit Sharing Plan □ 401(k) □ 403(b) □ Roth 401(k) □ Roth 403(b) □ Traditional IRA □ SEP IRA □ SIMPLE IRA □ Roth IRA □ Inherited IRA □ Other □
Original Roth IRA funding year (if applicable):  Original SIMPLE IRA funding date (if applicable):
Send the check representing the assets payable to "The Buffalo Funds FBO [Shareholder's Name]" along with a copy of this form to the address at the top of page one.

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A Buffalo Funds IRA Account Application mu specified on the Application will be used if th				being established. The F	rund(s) and the allocation(s)	
ISTITUTIONAL CLASS	NEW	EXISTING	ACCOUNT # (IF APPLICABLE)	AMOUNT	%	
Buffalo Discovery Fund	5475 🔲				OR	
Buffalo Dividend Focus Fund	5479 🗖				OR	
Buffalo Early Stage Growth Fund	5477 🗖				OR	
Buffalo Flexible Income Fund	5470 🗖				OR	
Buffalo Growth Fund	5472 🗖				OR	
Buffalo High Yield Fund	5473 🗖				OR	
Buffalo International Fund	5478 🗖				OR	
Buffalo Large Cap Fund	5471 🗖				OR	
Buffalo Mid Cap Fund	5476 🗖				OR	
Buffalo Small Cap Fund	5474				OR	
☐ Check if this transfer is going t	o an existin	g Buffalo	IRA Account. Account	# [		
6 DMD Aga Information						
6 RMD Age Information  Check one of the following: Does not apply to Roth IRAs)						
Check one of the following:		·	•	or transfer or rollover. I fur	ther understand that there ma	y be
Check one of the following: Does not apply to Roth IRAs)  I am under RMD age and do not turn RMI  OR	nat no part of m	y required n	ninimum distribution is eligible fo	or transfer or rollover. I fur	ther understand that there ma	uy be
Check one of the following: Does not apply to Roth IRAs)  I am under RMD age and do not turn RMI  OR  I am RMD age or older and understand the	nat no part of m	y required n	ninimum distribution is eligible foution occurs.	or transfer or rollover. I fur	ther understand that there ma	niy bo
Check one of the following: Does not apply to Roth IRAs)  I am under RMD age and do not turn RMI  OR  I am RMD age or older and understand the significant tax penalties if a transfer or rol	IRA to Ro	y required nuired distribute IRA -	ninimum distribution is eligible fourtion occurs.  Optional  pon receiving the assets from count, as indicated in Section	n my current Custodiar n Two. I understand th	, I instruct the Fund's trans	sfer

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## 8 Signature and Certification

I certify that I have established an IRA with the Buffalo Funds, of which Great Plains Trust Co of South Dakota is the trustee (U.S. Bank, N.A., Agent). I agree to contact my present Custodian from whom I am transferring to determine if specific documentation or a signature guarantee is required. I understand that I am responsible for determining my eligibility for all transfers or direct rollovers. I agree to hold the trustee harmless against any and all situations arising from an ineligible transfer or direct rollover. I acknowledge that the trustee or its agent cannot provide legal advice and I agree to consult with my own tax professional for advice.

I authorize U.S. Bank Global Fund Services, to act on my behalf in contacting the current custodian or plan administrator to facilitate the transfer of assets.

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SIGNATURE OF OWNER [OR GUARDIAN IF IRA OWNER IS A MINOR]	DATE (MM/DD/YYYY)

SIGNATURE GUARANTEE\* (FOR TRANSFERS FROM ANOTHER CUSTODIAN)

IMPORTANT: Please contact your current Custodian to determine if a signature guarantee\* is required.

\* A signature guarantee may be obtained from any eligible guarantor institution, as defined by the Securities and Exchange Commission. These institutions include banks, saving associations, credit unions and brokerage firms. The words "SIGNATURE GUARANTEED" must be stamped or typed near your signature. The guarantee must appear with the printed name, title, and signature of an officer and the name of the guarantor institution. Please note that a Notary Public Seal or Stamp is not acceptable.

## 9 Acceptance / Custodian Authorization

Great Plains Trust Co of South Dakota, Trustee, hereby accepts its appointment as Trustee of the above IRA account and upon receipt of assets, will deposit such assets in a Buffalo Funds IRA on behalf of the Depositor authorizing this transfer or direct rollover.

Great Plains Trust Company of South Dakota

William S. Lenker

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President of Great Plains Trust Co of South Dakota

# Before you mail, have you:

- ☐ Completed an IRA Account Application if the transfer of direct rollover is going to a new account?
- ☐ Included documents from your current custodian or plan administrator, if required?
- ☐ Signed your application in Section 8?

Ver: 04/2024 DOFU: 08/20 Page 3 of 3