



# IRA TRANSFER REQUEST FORM

CALDWELL & ORKIN®

*\*The IRA Transfer Request Form is used to facilitate the transfer of assets between two IRAs. This form may be used to transfer Traditional, Roth, SEP, or SIMPLE IRA assets from one IRA Trustee/Custodian/Issuer to another. This form should not be used to facilitate a rollover of assets from an employer-sponsored qualified plan or to convert Traditional, SEP or SIMPLE IRA assets to a Roth IRA. If you have any questions regarding this form, please call Shareholder Services at 1-800-467-7903. Note: Please complete a New Account Agreement if you do not already have an account established.*

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

Owner's Name* (First, M.I., Last)		Date of Birth*	Social Security Number*	
Street Address (Physical Address)*	Apartment #	City*	State*	Zip Code*
Mailing Address (if different from above)		City	State	Zip Code
Daytime Phone*		Evening Phone		

**PART II: CURRENT IRA TRUSTEE, CUSTODIAN OR ISSUER**

Name of Current IRA Trustee/Custodian/Issuer*		Current IRA Account/Plan Number/Fund Name*		
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 DESCRIPTION (PLEASE ATTACH A STATEMENT)**

Type of Transfer (Select One)

Traditional/SEP IRA-to-Traditional/SEP IRA  
 SIMPLE IRA-to-SIMPLE IRA  
 Roth IRA-to-Roth IRA  
 SIMPLE IRA-to-Traditional/SEP IRA\*

\*You may not transfer SIMPLE IRA assets to a Traditional IRA until at least two years have elapsed from the time of your initial participation in your employer-sponsor SIMPLE IRA plan.

**PART IV: 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 \_\_\_\_\_

**PART V: LIQUIDATION/TRANSFER INSTRUCTIONS**

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

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

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

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- Transfer-in-kind

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

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**\*Note:** If you are transferring a Certificate of Deposit (CD), mail this form at least 14 days, but not more than 21 days before the maturity date.

Please send proceeds by check:

Make check payable as follows: Caldwell and Orkin Funds: FBO \_\_\_\_\_  
(Investor's Name)

Please checks to:

**Regular Mail Delivery**

Caldwell & Orkin-Gator Capital Long/Short Fund  
P.O. Box 46707  
Cincinnati, OH 45246-0707

**Overnight Delivery**

Caldwell & Orkin-Gator Capital Long/Short Fund  
C/o Ultimus Fund Solutions, LLC  
225 Pictoria Dr., Suite 450  
Cincinnati, OH 45246

**PART VI: INSTRUCTIONS REGARDING REQUIRED MINIMUM DISTRIBUTION (RMD)**

**\*Note:** Complete this section only if the current (i.e., distributing) IRA is subject to Required Minimum Distributions (RMDs).

- Keep my RMD in the existing IRA and transfer the balance as instructed.       I have already satisfied my RMD for the year.
- Send me my RMD and transfer the remaining IRA balance as instructed above.       Transfer my RMD to the new IRA Trustee/Custodian.

Special Instructions: \_\_\_\_\_

**PART VII: ACKNOWLEDGEMENTS**

By signing this *IRA Transfer Request Form*, I certify that the information I have provided is true and correct. I authorize the current IRA Trustee/Custodian to transfer the IRA assets as instructed above. I understand that I am responsible for ensuring I am eligible to authorize this transfer and I assume all responsibilities for any consequences that arise as a result of my actions. I agree to indemnify and hold the IRA Trustee/Custodian harmless from any consequences related to executing my directions. I have been advised to seek competent legal and tax advice, and have not been provided any such advice from the IRA Trustee/Custodian. I also understand that if this transfer involves a SIMPLE IRA, or if I am subject to the required minimum distribution requirements, special rules apply; and I assume responsibility for my actions regarding those issues.

Signature of IRA Owner (or other authorized person): X \_\_\_\_\_ Date: \_\_\_\_\_

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

A New Technology Medallion Signature Guarantee Stamp is designed to protect the account from fraud. \*\*Please contact your present custodian to see if a New Technology Medallion Signature Guarantee Stamp is required for transfer. This will ensure that your transfer will be processed in a timely manner.

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

By signing below, the Trustee/Custodian of the receiving IRA agrees to accept this transfer as instructed above.

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

**MAILING INSTRUCTIONS**

Please send completed application to: **Regular Mail Delivery**  
Caldwell & Orkin–Gator Capital Long/Short Fund  
P.O. Box 46707  
Cincinnati, OH 45246-0707

**Overnight Delivery**  
Caldwell & Orkin–Gator Capital Long/Short Fund  
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# CUSTOMER PRIVACY NOTICE

## FACTS

### WHAT DOES CALDWELL & ORKIN FUNDS, INC. DO WITH YOUR PERSONAL INFORMATION?

<b>Why?</b>	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
<b>What?</b>	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> <li>▪ Social Security number</li> <li>▪ Assets</li> <li>▪ Retirement Assets</li> <li>▪ Transaction History</li> <li>▪ Checking Account Information</li> <li>▪ Purchase History</li> <li>▪ Account Balances</li> <li>▪ Account Transactions</li> <li>▪ Wire Transfer Instructions</li> </ul> <p>When you are <i>no longer</i> our customer, we continue to share your information as described in this notice.</p>
<b>How?</b>	All financial companies need to share your personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Caldwell & Orkin Funds Inc. chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Caldwell & Orkin Funds, Inc. share?	Can you limit this sharing?
<b>For our everyday business purposes –</b> Such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes –</b> to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	No	We don't share
<b>For our affiliates' everyday business purposes –</b> information about your transactions and experiences	No	No
<b>For our affiliates' everyday business purposes –</b> information about your creditworthiness	No	We don't share
<b>For nonaffiliates to market to you</b>	No	We don't share
<b>For our affiliates' marketing purposes</b>	Yes	Yes*

<b>Questions?</b>	Call (800) 467-7903
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<b>To limit our sharing</b>	<p>*Call (813) 282-7870</p> <p>Please note: If you are a <i>new</i> customer, we can begin sharing your information 30 days from the date we sent this notice. When you are <i>no longer</i> our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.</p>
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<b>Who we are</b>	
<b>Who is providing this notice?</b>	<p>Caldwell &amp; Orkin Funds, Inc.                      Caldwell &amp; Orkin – Gator Capital Long/Short Fund                      Ultimus Fund Distributors, LLC (Distributor)                      Ultimus Fund Solutions, LLC (Administrator)</p>
<b>What we do</b>	
<b>How does Caldwell &amp; Orkin Funds, Inc. protect my personal information?</b>	<p>To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.</p> <p>Our service providers are held accountable for adhering to strict policies and procedures to prevent any misuse of your nonpublic personal information.</p>
<b>How does Caldwell &amp; Orkin Funds, Inc. collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>▪ Open an account</li> <li>▪ Provide account information</li> <li>▪ Give us your contact information</li> <li>▪ Make deposits or withdrawals from your account</li> <li>▪ Make a wire transfer</li> <li>▪ Tell us where to send the money</li> <li>▪ Tell us who receives the money</li> <li>▪ Show your government-issued ID</li> <li>▪ Show your driver’s license</li> </ul> <p>We also collect your personal information from other companies.</p>
<b>Why can’t I limit all sharing?</b>	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> <li>▪ Sharing for affiliates’ everyday business purposes – information about your creditworthiness</li> <li>▪ Affiliates from using your information to market to you</li> <li>▪ Sharing for nonaffiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>

<b>Definitions</b>	
<b>Affiliates</b>	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>▪ Gator Capital Management, LLC <i>the investment adviser to Caldwell &amp; Orkin Funds, Inc., could be deemed an affiliate.</i></li> </ul>
<b>Nonaffiliates</b>	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies</p> <ul style="list-style-type: none"> <li>▪ <i>Caldwell &amp; Orkin Funds, Inc. does not share with nonaffiliates so they can market to you.</i></li> </ul>
<b>Joint marketing</b>	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>▪ <i>Caldwell &amp; Orkin Funds, Inc. does not jointly market.</i></li> </ul>