

# Non-Retirement Asset Transfer



CALDWELL & ORKIN®

To transfer assets to a Caldwell & Orkin Funds account with an individual or joint registration. If you're establishing a new account, please attach a completed new account application form. **Do not use this form to transfer Tax Qualified Retirement Plans such as an IRA.**

## 1. Remitting Institution Account Information *(Please print)*

### Mailing Address:

Current Bank/Current Remitting Institution

Street Address

City

State

Zip

Telephone Number

### Current Registration

Name

Name

Address

City

State

Zip

Account Number

Social Security/Tax I.D. Number

Daytime Telephone Number

### Type of Investment

Mutual Fund

Bank Account

CD

Other \_\_\_\_\_

### Type of Account

Individual

Joint

Other \_\_\_\_\_

**Note: "No Tax Qualified Retirement Accounts"**

### Redemption Instructions

Mutual Fund

Please transfer \_\_\_\_\_ shares in kind.

*(Caldwell & Orkin - Gator Capital Long/Short Fund shares only)*

Please redeem \_\_\_\_\_ % shares

All full and fractional shares.

\$ \_\_\_\_\_ worth of shares.

Bank Account

Please withdraw \$ \_\_\_\_\_

CD: Date of Maturity \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Other \_\_\_\_\_

*Note: The Caldwell & Orkin Funds will not accept shares in certificate form. If you are redeeming a mutual fund, please include a copy of your account statement.*

### Your Financial Representative *(if applicable)*

Name of Firm

Branch Address City State Zip

Firm Number Branch Number

Representative's Name

Representative's Number

Representative's Telephone

For assistance in completing this form, call Shareholder Services at **(800) 467-7903**.

## 2. Transfer Instructions

Please act on the redemption instructions on the previous page and send the proceeds to The Caldwell & Orkin Funds.

The Funds agrees to accept the funds and open an account for the investor named herein.

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### Please make check payable to:

#### The Caldwell & Orkin Funds

\_\_\_\_\_

FBO

\_\_\_\_\_

Social Security or Account Number

**P.O. Box 46707**  
**Cincinnati, Ohio 45246-0707**

*Please sign below exactly as your name(s) appear on the account you are redeeming/transferring from.  
All account owners must sign.*

\_\_\_\_\_

Signature

\_\_\_\_\_

Signature

\_\_\_\_\_

Date

\_\_\_\_\_

Date

\_\_\_\_\_

Daytime Telephone Number

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### Signature Guarantee

For your protection, a signature guarantee is required. A signature guarantee may be supplied by a commercial bank, trust company, federal savings bank, savings and loan association or member of a national securities exchange or other eligible financial institution. Notarization by a notary public is not a signature guarantee and is not an acceptable substitute.

\_\_\_\_\_

Signature Guaranteed By

\_\_\_\_\_

Affix Signature Guarantee Stamp

\_\_\_\_\_

Name of Bank or Firm

\_\_\_\_\_

Signature of Officer Title



### Remitting Institution must send proceeds and enclosed documentation to:

The Caldwell & Orkin Funds  
Attn: Shareholder Services  
P.O. Box 46707  
Cincinnati, Ohio 45246-0707

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### Investor Instruction to the Caldwell & Orkin Funds:

Please open a new Caldwell & Orkin Funds account for me. I have attached the appropriate application documents to this form.

Please deposit the proceeds to my existing account:

\_\_\_\_\_

Caldwell & Orkin Funds Account Number

\_\_\_\_\_

Amount

For assistance in completing this form, call Shareholder Services at **(800) 467-7903**.

# 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><br>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><br>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><br>information about your transactions and experiences   | No                                       | No                          |
| <b>For our affiliates' everyday business purposes –</b><br>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 |
|-------------------|---------------------|

|                             |   |
|-----------------------------|---|
| <b>To limit our sharing</b> | <p>*Call (813) 282-7870</p> <p>Please note:<br/>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.<br/>However, you can contact us at any time to limit our sharing.</p> |
|-----------------------------|---|

| <b>Who we are</b>   |   |
|---|---|
| <b>Who is providing this notice?</b>  | <p>Caldwell &amp; Orkin Funds, Inc.<br/>                     Caldwell &amp; Orkin – Gator Capital Long/Short Fund<br/>                     Ultimus Fund Distributors, LLC (Distributor)<br/>                     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>  |