

## **IRA Transfer/Rollover Form**

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

Mail to: The Needham Funds, Inc. c/o U.S. Bank Global Fund Services PO Box 701 Milwaukee, WI 53201-0701 Overnight Express Mail To: The Needham Funds, Inc. c/o U.S. Bank Global Fund Services 615 E. Michigan St., FL3 Milwaukee, WI 53202-5207

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 Six to order this transfer. U.S. Bank Global Fund Services will initiate your request upon receipt of this form.

1 Investor Information										
FIRST 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										
STREET ADDRESS CITY / STATE / ZIP										
Consider this your authorization to redeem my investment and transfer my Traditional IRA, SEP IRA, SIMPLE IRA, Both IRA, or Inherited IRA, or to directly rollover my qualified retirement plan as directed below: *  All Assets OR										
						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 Needham Funds, Inc. FBO [Shareholder's Name]" along with a copy of this form to the address at the top of page one.										

	3 Investment Selectio	n					
	A Needham Funds, Inc. IRA Account Application must be completed to process this transfer if a new account is being established. The Fund(s) and the allocation(s) specified on the Application will be used if they are different from those indicated below.						
			NEW	EXISTING	ACCOUNT # (IF APPLICABLE) AMOUNT	%	
	■ Needham Growth Fund Institutional Class	6461				OR	
	☐ Needham Aggressive Growth Institutional Class	Fund 6462				OR	
	☐ Needham Small Cap Growth Institutional Class	Fund 6463				OR	
	■ Needham Growth Fund Retail Class	0461				OR	
	☐ Needham Aggressive Growth Retail Class	Fund 0462				OR	
	☐ Needham Small Cap Growth Retail Class	Fund 0463				OR	
	4 Age 70½ Information	n					
	Check one of the following:						
	☐ I am under the age of 70½ and do not turn 70½ at anytime during this calendar year.						
	OR						
☐ I am age 70½ or older and understand that no part of my required minimum distribution is eligible for transfer or rollover. I further understand that there may be significant tax penalties if a transfer or rollover of my required distribution occurs.							
	5 Conversion of Tradit	tional	IR/	to Ro	oth IRA - Optional		
	I am converting assets from a Traditional IRA to a Roth IRA. Upon receiving the assets from my current Custodian, I instruct the Fund's transfer agent to invest the proceeds into a new or existing Roth IRA account, as indicated in Section Two. I understand this may be a taxable event. By signing below I agree that I am solely responsible for all tax consequences of this conversion.						
	OWNER'S SIGNATURE*  DATE (MM/DD/YYYY)						

\*The Fund's Transfer Agent cannot process the conversion without a signature above.

## 6 Signature and Certification

I certify that I have established an IRA with the Needham Funds, Inc., of which U.S. Bank, N.A., is the Custodian. 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 Custodian harmless against any and all situations arising from an ineligible transfer or direct rollover. I acknowledge that the Custodian 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.

X	
SIGNATURE OF OWNER FOR GUARDIAN IF IRA OWNER IS A MINORI	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.

## 7 Acceptance / Custodian Authorization

U.S. Bank, N.A., hereby accepts its appointment as Custodian of the above IRA account and upon receipt of assets, will deposit such assets in a Needham Funds, Inc. IRA on behalf of the Depositor authorizing this transfer or direct rollover.

U.S. BANK, N.A.

Joseph Newbyn

For additional information please call toll-free (800) 625-7071 or visit us on the web at www.needhamfunds.com.

<sup>\*</sup> 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.