Individual Retirement Transfer of Assets Form

Please complete this form only if you are transferring assets directly to a new or existing FullerThaler Funds IRA, converting from a Traditional IRA to a Roth IRA, transferring from an existing Roth IRA, rolling over a Roth IRA, or you are requesting a direct rollover from an employer sponsored plan. Please complete a separate form for each IRA you wish to transfer or for each qualified plan you are directly rolling over. If you are establishing a new FullerThaler Funds IRA, this form must be preceded or accompanied by a completed Individual Retirement Custodial Account Adoption Agreement. Transfers may take 3 to 5 weeks to complete after your paperwork is received in good order.

For Additional Copies or Assistance

If you need additional copies of this form, or would like assistance completing it, please call the FullerThaler Funds at **1-888-912-4562**.

Instructions

- If you are establishing a new FullerThaler Funds IRA, this form must be preceded or accompanied by a completed Individual Retirement Account Adoption Agreement.
- Mail this Transfer Form to:
  FullerThaler Funds
  PO Box 46707
  Cincinnati, OH 45246

  Overnight Delivery:
  FullerThaler Funds
  225 Pictoria Dr, Suite 450
  Cincinnati, OH 45246
- Retain a copy for your records.

1. ACCOUNT REGISTRATION

Please provide your primary legal address, in addition to any mailing address (if different).

Owner's Name (First, Middle, Last)	Social Security Number
Street Address	Date of Birth
City, State, Zip	Daytime Telephone
Email Address	Evening Telephone

○ This is a new IRA account with the FullerThaler Funds. I have completed and enclosed an IRA Application with this transfer form.

○ This is an existing IRA. Please apply transfer proceeds to my account number: ____________

2. CURRENT IRA CUSTODIAN/TRUSTEE INFORMATION

Name of Current Custodian or Trustee	Account Name
Street Address	Account Number
City, State, Zip	Telephone Number of Current Custodian

Please attach a copy of the most recent statement for this account.

3. TRANSFER INFORMATION

Please transfer assets from the above account to First National Bank of Omaha. Transfer should be according to the following instructions:

This transfer is a: (check one)

- ○ Full Transfer. Please liquidate all assets in my account.
- ○ Partial Transfer:

  Liquidate $ ________ from my account.

- ○ Transfer in kind. Please transfer:

  ________ shares of ________ (Fund Name)

The type of account I am transferring from is a: (check one)

- ○ Traditional IRA
- ○ Rollover IRA
- ○ SEP IRA
- ○ Roth IRA
- ○ Roth Conversion IRA
- ○ SIMPLE IRA
- ○ Qualified Retirement Plan
- ○ 403(B) Plan/Tax Shelter Annuity
- ○ Coverdell ESA
- ○ Inherited Traditional IRA
- ○ Inherited ROTH IRA

This transfer should be made: (check one)

- ○ Immediately
- ○ Upon maturity (if applicable).

  Maturity date is: ________

  (Please return this form 2 weeks prior to maturity)

The type of account I am transferring to is a: (check one)

- ○ Traditional IRA
- ○ Rollover IRA
- ○ SEP IRA
- ○ Roth IRA
- ○ Roth Conversion IRA
- ○ SIMPLE IRA
- ○ Qualified Retirement Plan
- ○ 403(B) Plan/Tax Shelter Annuity
- ○ Coverdell ESA
- ○ Inherited Traditional IRA
- ○ Inherited ROTH IRA

I understand that the requirements for a valid transfer to a Traditional IRA or Roth IRA are complex and I acknowledge that I have the responsibility for complying with all requirements and for the tax results of any such transfer.

4. TAX WITHHOLDING ELECTION

Please complete this section only if you are transferring from another type of IRA to a Roth IRA.

Under IRA rules, a transfer of a Traditional IRA, SEP IRA or SIMPLE IRA to a Roth IRA is treated for income tax purposes as a distribution of taxable amounts in the other IRA. IRS rules also require the custodian to withhold 10% of the conversion amount for federal income taxes unless no withholding has been elected. See IRS Publication 505, "Tax Withholding and Estimated Tax" for more information. State tax withholding may also apply if federal income tax is withheld.

○ No income tax withholding ○ Withhold 10% for income tax ○ Withhold for income tax: ________

Important: Withholding income taxes from the amount transferred (instead of paying applicable income taxes from another source) may adversely impact the expected financial benefits of transferring from another IRA to a Roth IRA (consult your financial advisor if you have a question). Because of this impact, by electing to convert a Traditional IRA to a Roth IRA, you are deemed to elect no withholding unless you check the box above. In so doing, by signing this form, you acknowledge that you may be required to pay estimated tax and that insufficient payments of estimated tax may result in penalties.

5. CERTIFICATIONS AND SIGNATURES

I certify to the current IRA custodian or trustee that I have established a successor Individual Retirement Custodial Account meeting the requirements of the Internal revenue Code to which assets will be transferred, and I certify to First National Bank of Omaha that the account from which assets are being transferred meets the requirements of the Internal Revenue Code and that the transfer satisfies the requirements for nontaxable transaction. **The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.**

IRA account Owner's Signature

Date

Medallion Signature Guarantee* (if required):

Some Custodians/Trustees require a signature guarantee to transfer assets. Please check with your Custodian/Trustee to see if they require a medallion signature guarantee. Failure to obtain a required signature guarantee may result in a delay in the transfer of assets.

* A signature guarantee can be obtained from a bank, broker-dealer, a credit union, a national securities exchange, savings association or other financial intermediaries that are members of an Approved Medallion Guarantee Program. A signature by a Notary Public is not acceptable as a signature guarantee.

6. CUSTODIAN ACCEPTANCE

First National Bank of Omaha agrees to accept the transfer of the above amount for deposit in a First National Bank of Omaha Individual Retirement Custodial Account for the individual set forth in Section 1 of this form and requests the transfer of assets as indicated above.

Accepted by: Date:

7. TRANSFER INSTRUCTIONS

Make check payable to:

FullerThaler Funds

FBO:

Account Number:

Mail to:

FullerThaler Funds
PO Box 46707
Cincinnati, OH 45246

or

Via Overnight Delivery
225 Pictoria Dr, Suite 450
Cincinnati, OH 45246

TO CONTACT US:

By Telephone
Toll-free: **1-888-912-4562**
Fax: **1-877-513-0756**

Internet
www.fullerthalerfunds.com

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FACTS

WHAT DO THE FULLERTHALER FUNDS DO WITH YOUR PERSONAL INFORMATION?

Why?	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.
What?	The types of personal information we collect and share depend on the product or service you have with us. This information can include: ▪ Social Security number ▪ account balances and account transactions ▪ account transactions, transaction or loss history and purchase history ▪ checking account information and wire transfer instructions When you are *no longer* our customer, we continue to share your information as described in this notice.
How?	All financial companies need to share customers' 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 the FullerThaler Funds choose to share; and whether you can limit this sharing.

Reasons we can share your personal information	Do the Funds share?
For our everyday business purposes— such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	**Yes**
For our marketing purposes— to offer our products and services to you	**No**
For joint marketing with other financial companies	**No**
For our affiliates' everyday business purposes— information about your transactions and experiences	**No**
For our affiliates' everyday business purposes— information about your creditworthiness	**No**
For nonaffiliates to market to you	**No**

Questions?	Call (888) 912-4562

Who we are	
Who is providing this notice?	FullerThaler Funds Ultimus Fund Distributors, LLC (Distributor) Ultimus Fund Solutions, LLC (Administrator)

What we do	
How does Capitol Series Trust protect my personal information?	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. Our service providers are held accountable for adhering to strict policies and procedures to prevent any misuse of your nonpublic information.
How does Capitol Series Trust collect my personal information?	We collect your personal information, for example, when you ▪ open an account or deposit money ▪ buy securities from us or sell securities to us ▪ make deposits or withdrawals from your account ▪ give us your account information ▪ make a wire transfer ▪ tell us who receives the money ▪ tell us where to send the money ▪ show your government-issued ID ▪ show your driver's license
Why can’t I limit all sharing?	Federal law gives you the right to limit only ▪ sharing for affiliates’ everyday business purposes—information about your creditworthiness ▪ affiliates from using your information to market to you ▪ sharing for nonaffiliates to market to you State laws and individual companies may give you additional rights to limit sharing.

Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. ▪ **Fuller & Thaler Asset Management, Inc., (d/b/a FullerThaler) the investment adviser to the Funds, could be deemed to be an affiliate.**
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. ▪ **The FullerThaler Funds do not share your personal information with nonaffiliates so they can market to you.**

Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. ▪ **The FullerThaler Funds do not jointly market financial products or services to you.**