

# IRA TRANSFER/ROLLOVER FORM

☐ Termination of Employment

Death

■ Plan Termination

 $\hfill \Box$  Attainment of Retirement Age (Typically 59  $1\!\!/\!\!2)$ 

**IMPORTANT:** If transferring to a new RiverNorth Funds account, please complete a new Account Application Form along with Transfer of Assets Form.

SECTION 1: Account Information							
Account Number		Owner's Name (L	ast, First,	Middle Initial)			
Owner's Social Security Number		Date of Birth (MI	M/DD/YY)				
Address of Residence (Required) - P.O. Box not accepted		City, State, Zip					
Mailing Address - If different from above (P.O. Boxes accepted	ed)	City, State, Zip					
( ) ( ) Day Phone Evening Phone		E-mail Address					
SECTION 2: Current Custodian							
To avoid delays, please confirm your current Custodian's ac a copy of the current account statement.	ddress and if they requ	uire a Signature Gu	arantee. If	required please	complete	Section 6. A	Attach
Type of Plan Being Transferred/Rolled Over							
Current Trustee/Custodian/Employer/Plan Administrator	r	Account Number					
Address of Custodian (Required) - P.O. Box not accepted		City, State, Zip					
Mailing Address - If different from above (P.O. Boxes accepted)	ed)	City, State, Zip					
( )							
( ) ( ) Day Phone Evening Phone							
SECTION 3: Transfer/Direct Rollover Instructions							
I have established an individual retirement account (IRA) w	ith BOKF, NA. Please t	transfer my assets	and follow	the instructions I	below.		
I authorize and direct the transfer of the amount stated be	low to the RiverNorth	Funds.					
☐ Liquidate all assets in my IRA Account Number and trat☐ Liquidate only part of my assets in my IRA Account Nur		eds.					
Fund Name	Fund Number	Ticker		Amount	or	Percent	%
RiverNorth/DoubleLine Strategic Income Fund Class I	14402	RNSIX	\$				%
RiverNorth/DoubleLine Strategic Income Fund Class R	14401	RNDLX	\$				_ %
RiverNorth Core Opportunity Fund Class R	14400	RNCOX	\$				%
RiverNorth Core Opportunity Fund Class I	14409	RNCIX	\$		_		%
RiverNorth/Oaktree High Income Fund Class I	14408	RNHIX	\$				%
RiverNorth/Oaktree High Income Fund Class R	14407	RNOTX	\$				_ %
Total			\$ =			100	<u></u> %
☐ Liquidate ONLY the assets listed below (For CD's):	Account Number		. 🗆 Imm	nediately 🖵 At	maturity		
☐ <b>Direct Rollover.</b> Directly rollover my qualified plan distri	bution to my IRA. I wo	uld like a distribution	on from my	qualified plan fo	r the follo	date :wing reason	

#### SECTION 3: Transfer/Direct Rollover Instructions (continued) **Fund Name Fund Number** Ticker Amount Percent RiverNorth/DoubleLine Strategic Income Fund Class I 14402 **RNSIX** \$ % RiverNorth/DoubleLine Strategic Income Fund Class R 14401 **RNDLX** \$ % RiverNorth Core Opportunity Fund Class R 14400 **RNCOX** \$ % RiverNorth Core Opportunity Fund Class I \$ % 14409 **RNCIX** RiverNorth/Oaktree High Income Fund Class I 14408 \$ **RNHIX** % RiverNorth/Oaktree High Income Fund Class R 14407 **RNOTX** \$ % **Total** 100 % "In Kind" Transfer. If the account listed in Section 2 contains shares of the RiverNorth Funds family of funds - you may choose to transfer them "In Kind." To transfer all other assets, they must be liquidated. **Fund Name Fund Number Ticker Amount Percent** % RiverNorth/DoubleLine Strategic Income Fund Class I 14402 **RNSIX** \$ % RiverNorth/DoubleLine Strategic Income Fund Class R 14401 **RNDLX** \$ % RiverNorth Core Opportunity Fund Class R 14400 RNCOX \$ % RiverNorth Core Opportunity Fund Class I 14409 **RNCIX** \$ % RiverNorth/Oaktree High Income Fund Class I 14408 **RNHIX** % \$ RiverNorth/Oaktree High Income Fund Class R 14407 **RNOTX** \$ % 100 % Make Checks Payable to: RiverNorth Funds Client Name FBO Traditional IRA, SEP IRA, or Roth IRA **SECTION 4: Transfer/Rollover Investment Allocation** I authorize and direct the transfer of the amount indicated in Section 3 to the RiverNorth Funds per the below allocation. You may not transfer from a Roth IRA to a Traditional IRA or a SEP IRA. ☐ Open a new account – I have attached a completed IRA application ■ Invest in my existing RiverNorth Funds IRA account\_ Investment Allocation **Fund Name Fund Number** Ticker **Amount** Percent % RiverNorth/DoubleLine Strategic Income Fund Class I 14402 **RNSIX** \$ % RiverNorth/DoubleLine Strategic Income Fund Class R 14401 **RNDLX** \$ % RiverNorth Core Opportunity Fund Class R 14400 **RNCOX** \$ RiverNorth Core Opportunity Fund Class I 14409 **RNCIX** \$ % RiverNorth/Oaktree High Income Fund Class I 14408 **RNHIX** \$ % RiverNorth/Oaktree High Income Fund Class R 14407 **RNOTX** \$ % Total 100 Ś %

#### **SECTION 5: Authorization/Signatures**

Current Trustee/Custodian: I have established an Individual Retirement Account or 403(b)(7) Custodial Account with the RiverNorth Funds and have appointed BOKF, NA as the custodian. Please accept this as your authorization and instruction to liquidate and/or transfer "in kind" the assets noted above, which your company holds for me.

If I have begun taking my minimum required distributions from the account which is being transferred to the RiverNorth Funds, I understand and acknowledge that I am responsible for notifying the RiverNorth Funds of the existence and birth date of any spouse beneficiary which existed on my account as of my required beginning date, as that term is defined in Treasury Regulation 1.401(a)(9); as well as the method of calculation which I elected for determining life expectancy over which required distributions are to be made from the account. Should I fail to provide this information, I understand that future calculations of my minimum required distribution amounts may result in underpayments, which would subject me to a 50% excess accumulations penalty tax.

Owner's Signature	Date (MM/DD/YY)

### **SECTION 5: Authorization/Signatures (continued)**

A signature guarantee is required if redeeming within 30 days of changing bank information or address, in addition to sending wires, ACHs and checks to instructions other than that on record for this account.

To protect yourself against fraud, your signature(s) must be guaranteed ("Medallion Signature Guarantee") by any "eligible" guarantor. The Medallion Signature Guarantee stamp MUST include the words "Signature Guaranteed, Medallion Guaranteed" and comply with the Medallion program requirements. Signatures notarized by a Notary Public are not acceptable.

Eligible guarantor's: Commercial Banks

Credit Unions

Member Firms of a domestic stock exchange

Savings Associations Trust Companies

Bank or Dealer Firm	Officer's Title
Officer's Signature	Date (MM/DD/YY)

[STAMP]

## SECTION 6: BOKF, NA

To be completed by the Custodian.

This is to inform you that BOKF, NA will accept the account referenced in Section .

This transfer of assets/direct rollover is to be executed from fiduciary to fiduciary and will not place the participant in actual receipt of all or any of the plan assets. No federal income tax is to be withheld from this transfer of assets or direct rollover.

Accepted by BOKF, NA as Custodian for the RiverNorth Funds.

BOKF, NA Authorized Representative

Date (MM/DD/YY)

# Please mail completed form to:

Regular Mail: RiverNorth PO Box 219427 Kansas City, MO 64121-9427

#### or Fax to 866-205-1499

If you have any questions, please contact an Investor Service Representative at 1-888-848-7569.

For Broker/Dealer Use Only				
Broker/Dealer Name	Broker/Dealer Number			
Representative Name	Representative Number			
Street Address (Street, City, State, Zip Code)				
Representative Phone Number				