



# Transfer of Education Savings Account Assets

UMB Bank, N.A.

Coverdell Education Savings Custodial Account for The Royce Funds

## USA PATRIOT ACT

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. When you open an account, we will ask for information that will allow us to identify you. This information must be provided and will be verified to ensure identity of every person opening a mutual fund account, as required by the USA Patriot Act.

**Please Print, Preferably with Black Ink**

## Step One Name, Address, and Consent Of Person Who Controls the Sending Account

NAME (FIRST, MIDDLE, LAST)

MOTHER / FATHER / GUARDIAN (if "Guardian," submit proof of guardianship)

SOCIAL SECURITY NUMBER

DAYTIME PHONE NUMBER

STREET ADDRESS

CITY, STATE, ZIP CODE

By signing below, I authorize and direct the current custodian or trustee to make the transfer specified in this form.

SIGNATURE

DATE

**Signature Guarantee** (only if required by current custodian or trustee; a notary public cannot provide a signature guarantee.)

Signature guaranteed by:

NAME OF BANK OR DEALER FIRM

SIGNATURE OF OFFICER AND TITLE

## Step Two Name of Student Benefiting

**Insert the name of the Student benefiting under the UMB Bank, N.A. Education Savings Account, as specified in Section 1 of the UMB Bank, N.A. Coverdell Education Savings Custodial Account Adoption Agreement.**

NAME (FIRST, MIDDLE, LAST)

SOCIAL SECURITY NUMBER

DAYTIME TELEPHONE NUMBER

ADDRESS

CITY, STATE, ZIP CODE

## Step Three Instructions to Current Education Savings Account Custodian or Trustee

**Must be completed for your financial advisor/dealer to receive copies of statements.**

CURRENT ACCOUNT NUMBER

NAME OF CURRENT CUSTODIAN / TRUSTEE

CONTACT AT CURRENT CUSTODIAN / TRUSTEE

ADDRESS

CITY, STATE, ZIP CODE

Please transfer assets from the above account to UMB Bank, N.A.. Transfer should be in cash according to the following instructions:

- Transfer the total amount in this Account  Transfer \$ \_\_\_\_\_ and retain the balance.
- Transfer-in-kind of shares of \_\_\_\_\_ (insert name of Mutual Fund Company).

**Make check payable to: The Royce Funds**

### Step Four Investment Instructions to UMB Bank, N.A.

**Check one box and complete if necessary**

- Invest the transferred amount in accordance with the investment instructions currently in effect for the Student's UMB Bank, N.A. Coverdell Education Savings Custodial Account.

If such an Account is already open, give account number: \_\_\_\_\_

**Royce Trust & Gift Shares Fund and Royce Select Fund are not available for investments in Education Savings Accounts.**

- Invest the transferred amount as follows:

FUND	PROPORTION
	%
	%
	%
(MUST EQUAL 100%)	

The undersigned acknowledges having sole responsibility for the foregoing investment choices and having received a current prospectus for each Fund selected. Please read the prospectus(es) of the Fund(s) selected before investing. The undersigned understands that the requirements for a valid transfer between Education Savings Accounts are complex and acknowledges having responsibility for complying with all requirements and for the tax results of any such transfer.

### Step Five Signature of Student, Parent or Guardian

STUDENT/PARENT/GUARDIAN (PLEASE CIRCLE ONE)

DATE

**Special Note:** If Student is a minor under the law of Student's state of residence, the parent or guardian must execute this Transfer of Education Savings Account Assets Form.

**Acceptance by New Custodian (To Be Completed by UMB Bank, N.A.)**

UMB Bank, N.A. agrees to accept transfer of the above amount for deposit to the Student's UMB Bank, N.A. Coverdell Education Savings Custodial Account, and requests the liquidation and transfer of assets as indicated above.

By: \_\_\_\_\_

### Step Six Send Us Your Document

**Retain a copy of the completed transfer form for your records. Mail completed form by:**

**Regular Mail to:**

The Royce Funds  
c/o DST AMS  
P.O. Box 219012  
Kansas City, MO 64121-9012

**Overnight or certified mail to:**

The Royce Funds  
c/o DST AMS  
330 West 9th Street  
Kansas City, MO 64105