

# IRA Transfer of Assets Form

## ABOUT ACCOUNTS WITH EVENTIDE

**Eventide Mutual Funds** are available to investors directly through accounts offered by Eventide Asset Management in partnership with Constellation Trust, Mutual Fund Series Trust, and Northern Lights Distributors.

### Who is this form for?

- **If you want to transfer, convert or roll over assets held in a non-taxable account to a new or existing non-taxable account with Eventide Funds in custody of Constellation Trust. This includes:**
  - Transferring assets directly to a new or existing Eventide Funds IRA
  - Converting from a Traditional IRA to a Roth IRA
  - Transferring from an existing Roth IRA
  - Rolling over a Roth IRA
  - Requesting a direct rollover from an employer sponsored plan

Please complete a separate form for each account you wish to transfer. Transfers may take 3 to 5 weeks to complete after your paperwork is received in good order.

### Who is this form NOT for?

- **If you want to transfer assets into a taxable account held with Eventide Funds:**  
Instead use the Non-Qualified Transfer of Assets form — see <https://eventidefunds.com/forms/transfer>

### What information will I need?

- The most recent statement from the account being transferred, and other basic information about that account
- A Medallion Signature Guarantee if it is required by the account you will transfer from — see Section 5
- If you are transferring into an existing Eventide non-taxable (IRA, Roth IRA, SIMPLE IRA or ESA) account, you'll need information about that account and its owner
- If you want to transfer into a new Eventide account, complete and include the appropriate separate new account application:
  - Regular or Roth IRA — use <https://eventidefunds.com/forms/new-ira>
  - SIMPLE IRA for employer contributions — use <https://eventidefunds.com/forms/new-simple-ira>
  - Coverdell Education Savings Account (ESA) — use <https://eventidefunds.com/forms/new-esa>

### Filing Instructions

- **Regular Mail:**  
Eventide Funds  
PO Box 541150  
Omaha, NE 68154
- **Overnight Deliveries:**  
Eventide Funds  
4221 N. 203rd Street, Suite 100  
Elkhorn, NE 68022
- **Retain a copy for your records**

**For assistance with this form or other questions, please contact Eventide Funds at 877-771-3836 x1.**

## Important Policies

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### Eventide Asset Management Privacy Policy Statement

Your privacy is important to us. Eventide is committed to maintaining the confidentiality, integrity and security of your personal information. When you provide personal information, Eventide believes that you should be aware of policies to protect the confidentiality of that information.

The Fund collects the following nonpublic personal information about you:

- Information we receive from you on or in applications or other forms, correspondence, or conversations, including, but not limited to, your name, address, phone number, social security number, assets, income and date of birth; and
- Information about your transactions with us, our affiliates, or others, including, but not limited to, your account number and balance, payments history, parties to transactions, cost basis information, and other financial information.

Eventide does not disclose any nonpublic personal information about our current or former shareholders to nonaffiliated third parties, except as permitted by law. For example, Eventide is permitted by law to disclose all of the information we collect, as described above, to our transfer agent to process your transactions. Furthermore, Eventide restricts access to your nonpublic personal information to those persons who require such information to provide products or services to you. Eventide maintains physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.

In the event that you hold shares of Eventide Mutual Funds through a financial intermediary, including, but not limited to, a broker-dealer, bank, or trust company, the privacy policy of your financial intermediary would govern how your nonpublic personal information would be shared with nonaffiliated third parties.

### Anti-Money Laundering

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.

What this means for you: When you open an account, we will ask for your name, address, date of birth, social security number/ Tax ID number and other information that will allow us to identify you. We may also ask to see other identifying documents. Until you provide the information or documents we need, we may not be able to open an account or effect any additional transactions for you.

When opening an account for a foreign business, enterprise or a non-U.S. person that does not have an identification number, we require alternative government-issued documentation certifying the existence of the person, business or enterprise.

For questions about these policies, or for additional copies of the Eventide Asset Management Privacy Policy Statement(s), please contact Eventide Funds at **(877) 771-3836**, **[www.eventidefunds.com](http://www.eventidefunds.com)**, or at PO Box 541150, Omaha, Nebraska 68154.

## 1. Eventide Account Information

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\_\_\_\_\_  
Owner's Name (First, Middle, Last)

\_\_\_\_\_  
Social Security Number

\_\_\_\_\_  
Primary Legal Address

\_\_\_\_\_  
Date of Birth (mm/dd/yyyy)

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
ZIP

\_\_\_\_\_  
Daytime Telephone

\_\_\_\_\_  
Mailing Address (if different)

\_\_\_\_\_  
Evening Telephone

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
ZIP

\_\_\_\_\_  
Email Address

This is a new IRA account with Eventide Funds. I have completed and enclosed an IRA Application (available at <https://eventidefunds.com/forms/new-ira>) with this transfer form.

This is an existing IRA. Please apply transfer proceeds to my Eventide / Constellation Trust account number:

\_\_\_\_\_

## 2. Current IRA Custodian/Trustee Information

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\_\_\_\_\_  
Name of Current Custodian or Trustee

\_\_\_\_\_  
Account Name

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
Account Number

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
ZIP

\_\_\_\_\_  
Telephone Number of Current Custodian or Trustee

\_\_\_\_\_  
Fax Number of Current Custodian or Trustee

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

### 3. Transfer Information

Please transfer assets from the above account to Constellation Trust Company. Transfer should be in cash 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
- Inherited Traditional IRA
- Rollover IRA
- SEP IRA
- Roth IRA
- Inherited Roth IRA
- Roth Conversion IRA
- SIMPLE IRA
- Qualified Retirement Plan
- 403 (B) Plan/Tax Shelter Annuity
- Coverdell ESA

**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
- Inherited Traditional IRA
- Rollover IRA
- SEP IRA
- Roth IRA
- Inherited Roth IRA
- Roth Conversion IRA
- SIMPLE IRA
- 403 (B) Plan
- Coverdell ESA

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 Constellation Trust Company 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 Owner's Signature

\_\_\_\_\_  
Date (mm/dd/yyyy)

**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

Constellation Trust Company agrees to accept the transfer of the above amount for deposit in a Constellation Trust Company Individual Retirement Custodial Account for the individual set forth in Section 1 of this form, and requests the liquidation and transfer of assets as indicated above.

Accepted by \_\_\_\_\_

Date (mm/dd/yyyy) \_\_\_\_\_

## 7. Transfer instructions

Make check payable to:

**Eventide Funds**

For Benefit Of (Name) \_\_\_\_\_

Account Number \_\_\_\_\_

Mail to:

**Eventide Funds**

**PO Box 541150**

**Omaha, NE 68154**

or

**Via Overnight Mail**

**4221 N. 203rd Street, Suite 100**

**Elkhorn, NE 68022**

### TO CONTACT US:

#### By Telephone

Toll-free (877) 771-3836

#### In Writing

Eventide Funds

PO Box 541150

Omaha, NE 68154

or

Via Overnight Mail

4221 N. 203rd Street, Suite 100

Elkhorn, NE 68022

#### Online

[WWW.EVENTIDEFUNDS.COM](http://WWW.EVENTIDEFUNDS.COM)

Distributed by Northern Lights Distributors, LLC

## Privacy Notice

MUTUAL FUND SERIES TRUST REVISED JUNE 2011

FACTS	WHAT DOES MUTUAL FUND SERIES TRUST 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 depends on the product or service that you have with us. This information can include:</p> <ul style="list-style-type: none"> <li>▪ Social Security number and wire transfer instructions</li> <li>▪ account transactions and transaction history</li> <li>▪ investment experience and purchase history</li> </ul> <p>When you are no longer our customer, we continue to share your information as described in this notice.</p>
<b>How?</b>	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 Mutual Fund Series Trust chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information:	Does Mutual Fund Series Trust share information?	Can you limit this sharing?
<b>For our everyday business purposes</b> – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus.	<b>YES</b>	<b>NO</b>
<b>For our marketing purposes</b> – to offer our products and services to you.	<b>NO</b>	<b>We don't share</b>
For joint marketing with other financial companies.	<b>NO</b>	<b>We don't share</b>
<b>For our affiliates' everyday business purposes</b> – information about your transactions and records.	<b>NO</b>	<b>We don't share</b>
<b>For our affiliates' everyday business purposes</b> – information about your credit worthiness.	<b>NO</b>	<b>We don't share</b>
<b>For our affiliates to market to you</b>	<b>NO</b>	<b>We don't share</b>
<b>For non-affiliates to market to you</b>	<b>NO</b>	<b>We don't share</b>



# Privacy Notice

MUTUAL FUND SERIES TRUST REVISED JUNE 2011

## What we do

### How does Mutual Fund 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 personal information.

### How does Mutual Fund Series Trust collect my personal information?

We collect your personal information, for example, when you

- open an account or deposit money
- direct us to buy securities or direct us to sell your securities
- seek advice about your investments

We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.

### 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 non-financial companies.

- Mutual Fund Series Trust has no affiliates.

### Non-affiliates

Companies not related by common ownership or control. They can be financial and non-financial companies.

- Mutual Fund Series Trust does not share with non-affiliates so they can market to you.

### Joint marketing

A formal agreement between nonaffiliated financial companies

that together market financial products or services to you.

- Mutual Fund Series Trust does not jointly market.

**Questions?** Call 1-877-771-3836