KEELEY FUNDS

IRA APPLICATION & TRANSFER FORM

Multi-Class Application for Class A and I Shares

For assistance in completing this form, call 800-422-3554

Fill out all applicable sections.

- Return to us in postage paid envelope.
- Keep a copy for your records.
- If converting a Regular IRA to a Roth IRA, use the KEELEY Funds Roth IRA Conversion Form.

THE 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.

What this means to you: When you open an account, we will ask your name, address, date of birth, and other information that will allow us to identify you. ***THIS APPLICATION WILL BE REJECTED IF INFORMATION CANNOT BE VERIFIED.***

Sections 1 and 7 must be completed and will be verified as required by the USA Patriot Act.

HOW TO OPEN YOUR KEELEY FUNDS IRA:

To Open a Traditional IRA, Roth IRA or SEP IRA

- Complete, sign and date the IRA Application on the opposite page.
- Draw a check payable to **The KEELEY Funds** for the contribution to your IRA.
- Send check and IRA Application to the address shown below.

To open an IRA for Your Spouse (working or non-working)

- Repeat steps above using a separate IRA Application or photocopy.

To Convert Existing Regular IRA to a Roth IRA

- DO NOT complete this application. Please call 1-800-422-3554 to request a Roth Conversion IRA Form.

To Transfer Existing IRA Funds (not for Conversion to a Roth IRA)

1. To a New Account you wish to establish:
   - Complete and sign the IRA Application.
   - Complete and sign the IRA Transfer Request Form.
   - Send the IRA Application and the IRA Transfer Request Form to the address shown below.
2. To an Existing Account:
   - Complete and sign the Transfer Request Form.
   - Send the form to the address shown below. Be sure to provide us with the Fund name and the account number of your existing KEELEY Funds IRA.

* You may transfer funds from an existing Regular IRA to a Regular IRA, or from an existing Roth IRA to a Roth IRA.

To Rollover an Existing IRA (not for Conversion to a Roth IRA)

- Complete and sign the IRA Application.
- Draw a check for the rollover amount payable to The KEELEY Funds.
- Send the IRA Account Application and the check to the address shown below.

* You may transfer funds from an existing Regular IRA to a Regular IRA, or from an existing Roth IRA to a Roth IRA.

ADVISOR/DEALER INFORMATION

Representative Name	Dealer Number	Branch Number	Rep Number
Company Name			Phone Number
Mailing Address			
City	State		Zip

Revised: October 1, 2018

1. WHOSE IRA IS THIS?

UMB BANK N.A., Custodian for the IRA of:

Full Name

Social Security Number

Mailing Address

Date of Birth *(Required)*

Street Address *(If mailing address above is a post office, a street address is also required by the USA Patriot Act)*

Daytime Telephone

City

State

Zip

Email Address

☐ Dealers & Financial Planners check here to request duplicate statements (see reverse).

2. WHAT TYPE OF IRA IS IT?

☐ **Traditional IRA**

- ☐ Individual
- ☐ Transfer*
- ☐ Rollover
- ☐ Direct Rollover from 403(b)
- ☐ Direct Rollover from 401 (k)
- ☐ Direct Rollover

***Complete transfer request form**

☐ **Roth IRA**

- ☐ Individual
- ☐ Transfer from Roth IRA to Roth IRA**
- ☐ Rollover from Roth IRA to Roth IRA**

****Date existing Roth IRA originally opened** ______________

☐ **SEP IRA**

- ☐ Individual
- ☐ Transfer
- ☐ Rollover

3. WHO WILL BE THE BENEFICIARIES ON THIS ACCOUNT?

Primary Beneficiary

Name

Relationship

Mailing Address

Street Address *(If mailing address above is a post office, a street address is also required)*

City

State

Zip

Social Security Number

Date of Birth

Secondary Beneficiary

Name

Relationship

Mailing Address

Street Address *(If mailing address above is a post office, a street address is also required)*

City

State

Zip

Social Security Number

Date of Birth

Spousal Consent: If you are married and you name someone other than your spouse as primary beneficiary and reside in a community or marital property state, including AZ, CA, ID, LA, NV, NM, TX, WA, or WI, then your spouse must sign below.

X ____

4. WHICH KEELEY FUND(S) DO YOU WANT TO INVEST IN?

Please list Fund(s):	Circle Class of Shares		Indicate Tax Year (If Applicable) 20 ______	IRA Transfer (Complete Transfer Request Form)	Rollover (Enclose Check)
	A	I	$	$	$
	A	I	$	$	$
	A	I	$	$	$

Annual Maintenance Fee: $15.00 per taxpayer - one fee will be billed at year end to each taxpayer. Fee is waived if total assets in combined IRA's exceed $25,000. **For automatic investment plan, please complete separate application for regular monthly investments.**

Revised: October 1, 2018