

# IRA Transfer and Direct Rollover Form

This form may be used to effect a direct transfer to a First Eagle Funds Individual Retirement Account (IRA) from an IRA with another custodian or a direct rollover from a Qualified Plan. If you do not have an existing First Eagle Funds IRA, an IRA Application must accompany this form. If you have any questions or to ensure that all legal requirements are met, please call Shareholder Services at 800-334-2143.

All information must be supplied.

## 1. Participant Information

First Name	MI	Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>
Social Security Number	Date of Birth (MM/DD/YYYY)	
<input type="text"/>	<input type="text"/>	
Street Address		
<input type="text"/>		
City	State	Zip Code
<input type="text"/>	<input type="text"/>	<input type="text"/>
Fund Name	Account Number (if new account, specify "New Account")	
<input type="text"/>	<input type="text"/>	

Provide information on the Custodian/Trustee/Financial Institution where your assets are currently held.

## 2. Information About Your Current IRA or Qualified Plan

Name of Current Custodian/Trustee	Name of Current Financial Institution	
<input type="text"/>	<input type="text"/>	
Street Address		
<input type="text"/>		
City	State	Zip Code
<input type="text"/>	<input type="text"/>	<input type="text"/>
Daytime Telephone Number	Account Number	
<input type="text"/>	<input type="text"/>	

## 3. Type of Account Transfer/Rollover

Select one of the following.

- ☐ Traditional IRA to Traditional IRA
- ☐ Traditional IRA to Roth IRA
- ☐ Rollover IRA to Rollover IRA
- ☐ Inherited IRA to Inherited IRA
- ☐ Roth IRA to Roth IRA      Date (MM/DD/YYYY)
- ☐ Rollover from my Employer's Qualified Plan (401(k), 403(b)) to a Traditional IRA
- ☐ SEP-IRA to SEP IRA or Traditional IRA
- ☐ SAR-SEP IRA to SAR-SEP IRA or Traditional IRA (for plans established prior to January 1, 1997)

Transfer assets from the above account to UMB Bank, n.a. The transfer should be in cash according to the following instructions.

**NOTE:** Please include a copy of your most recent account statement.

Invest the transferred amount as follows. If this is a new account, please complete an IRA Application.

Please see the current First Eagle Funds Prospectuses for the different sales charges and expenses.

You must select a share class

**NOTE:** We encourage you to consult your accountant or tax adviser.

For each investment you make, you must notify us that a Letter of Intent is on file, along with the account numbers associated with the letter. **You must list all accounts in Section B to ensure they are linked appropriately for future breakpoints.** Shares you currently own may be used toward completing the Letter of Intent. Please refer to the First Eagle Funds Prospectus for additional information.

#### 4. Instructions to Current Custodian/Trustee/Financial Institution

- ☐ Liquidate the total amount of my account. Approximate value: \$
- ☐ \$  OR  % of my account.

If you are liquidating a certificate of deposit IRA, select one of the following:

- ☐ Liquidate prior to maturity date. I am aware that I may incur a penalty for early withdrawal.
- ☐ Liquidate at maturity. (Maturity date must be within 60 days. If the maturity date is less than 15 days from the date of this request, you may want to contact your custodian bank to prevent automatic reinvestment.)

#### 5. Investment Instructions

First Eagle Global Fund	<input type="text"/>	%	Share Class	<input type="checkbox"/> A	<input type="checkbox"/> C	<input type="checkbox"/> I
First Eagle Overseas Fund	<input type="text"/>	%	Share Class	<input type="checkbox"/> A	<input type="checkbox"/> C	<input type="checkbox"/> I
First Eagle U.S. Fund	<input type="text"/>	%	Share Class	<input type="checkbox"/> A	<input type="checkbox"/> C	<input type="checkbox"/> I
First Eagle Gold Fund	<input type="text"/>	%	Share Class	<input type="checkbox"/> A	<input type="checkbox"/> C	<input type="checkbox"/> I
First Eagle Rising Dividend Fund	<input type="text"/>	%	Share Class	<input type="checkbox"/> A	<input type="checkbox"/> C	<input type="checkbox"/> I
First Eagle High Yield Municipal Fund	<input type="text"/>	%	Share Class	<input type="checkbox"/> A	<input type="checkbox"/> C	<input type="checkbox"/> I
First Eagle Global Income Builder	<input type="text"/>	%	Share Class	<input type="checkbox"/> A	<input type="checkbox"/> C	<input type="checkbox"/> I
First Eagle Small Cap Opportunity Fund	<input type="text"/>	%	Share Class	<input type="checkbox"/> A	<input type="checkbox"/> C	<input type="checkbox"/> I
First Eagle Global Real Assets Fund	<input type="text"/>	%	Share Class	<input type="checkbox"/> A		<input type="checkbox"/> I
First Eagle U.S. Smid Cap Opportunity Fund	<input type="text"/>	%	Share Class	<input type="checkbox"/> A		<input type="checkbox"/> I
First Eagle Short Duration High Yield Municipal Fund	<input type="text"/>	%	Share Class	<input type="checkbox"/> A	<input type="checkbox"/> C	<input type="checkbox"/> I
<b>Total Investment</b>	<input type="text" value="100"/>	%				

#### 6. Federal Income Tax Withholding

If you are rolling over your assets from a Qualified Plan, the Custodian/Trustee/Financial Institution named above is required to withhold 10% of the taxable distribution unless you check a box below.

- ☐ I elect not to have federal income tax withheld from my rollover
- ☐ Please withhold federal income tax at a rate of  % from my rollover.

#### 7. Reduced Sales Charges

##### A. Letter of Intention

If you intend to purchase additional shares of any Eligible Fund in the next 13 months you may qualify for reduced sales charges.

Under the terms of the prospectus, I agree to accumulate in a 13-month period an amount equal to or in excess of:

- ☐ \$25,000\*    ☐ \$50,000\*    ☐ \$100,000
- ☐ \$250,000\*\*    ☐ \$500,000    ☐ \$1,000,000

\* The initial breakpoint for the First Eagle High Yield Municipal Fund and First Eagle Short Duration High Yield Municipal Fund is \$100,000. Please read the First Eagle Funds Prospectus for additional information.

\*\* There will be no sales charge for purchases of \$250,000 or more in the First Eagle High Yield Municipal Fund, First Eagle Short Duration High Yield Municipal Fund and First Eagle Global Income Builder Fund.

- ☐ Please link the Letter of Intent to all existing eligible accounts on file.

## 7. Reduced Sales Charges (continued)

Linking to a brokerage account will require a copy of an account statement, showing current investment in First Eagle Funds. Each future subsequent purchase will also require a copy of up-to-date account statements.

### B. Rights of Accumulation

You may purchase Class A shares at a reduced sales charge by combining the amount being invested with the current value of any Eligible Funds you already own.

Please list all First Eagle accounts related to the new account you are establishing if you wish to link them for Rights of Accumulation or a Letter of Intent. (Accounts must have the same primary address or tax identification number.) Refer to the First Eagle Funds Prospectus for additional information.

Account Number

Account Number

Account Number

Account Number

Account Owner

Account Owner

Relationship

Relationship

To be reviewed and signed by the Funds' custodian.

## 8. To be Completed by UMB Bank, n.a. ("UMB")

UMB agrees to accept custodianship and the transfer described above for deposit to a First Eagle Funds IRA established on behalf of the above-named individual. UMB accepts its appointment as successor custodian of the above IRA and requests the liquidation and transfer of assets/rollover as indicated above.

UMB Bank, n.a.

Signature of Custodian

Date (MM/DD/YYYY)

In order to complete your request, sign your name exactly as it appears on your account (if signing on behalf of the account owner, please include your designated title).

By signing below, the owner of the above referenced account hereby authorizes the transfer/rollover specified in this form.

## 9. Signatures and Authorization

The undersigned certifies to the current custodian that a successor Individual Retirement Account has been established meeting the requirements of Internal Revenue Code Section 408(a), 408A, or 408(k) to which assets will be transferred, and certifies to UMB that the IRA from which the assets are being transferred meets the requirements of Internal Revenue Code Section 408(a), 408A, or 408(k). I understand that this transfer of assets/rollover is to be executed as a fiduciary-to-fiduciary transfer so as not to put me in actual or constructive receipt of all or any part of transferred assets. We recommend that you contact your resigning custodian to determine their transfer and signature requirements. A Medallion Signature Guarantee may be required.

A **Medallion Signature Guarantee** assures that a signature is genuine and protects investors from unauthorized requests. A Medallion Signature Guarantee may be obtained from an officer of a commercial bank or trust company, savings and loan or savings bank, or a member firm of a domestic stock exchange. Notarization by a notary public is **not** acceptable.

Account Owner's Signature

Title (if applicable)

Date (MM/DD/YYYY)

Affix Medallion Signature Guarantee stamp.

Name and Title of Guarantor

If you have any questions or to ensure that all legal requirements are met, please call Shareholder Services at 800-334-2143.

## 10. Mail the completed form to:

### Regular Mail:

First Eagle Funds  
P.O. Box 219324  
Kansas City, MO 64121-9324

### Overnight Mail:

First Eagle Funds  
801 Pennsylvania Avenue  
Suite 219324  
Kansas City, MO 64105-1307

First Eagle Funds are offered by **FEF Distributors, LLC**, a subsidiary of First Eagle Investment Management, LLC, which provides advisory services.

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