

IRA OR ROTH IRA TRANSFER OF ASSETS FORM

- If you have any questions about completing this Application, please call Neuberger Berman Retail Services at 800.877.9700, Monday-Friday, from 9AM to 6PM Eastern Time.
- Use this Form only when transferring assets from an existing IRA/ROTH IRA to a Neuberger Berman BD LLC IRA/ROTH IRA. If you do not already have a Neuberger Berman IRA, an IRA Application is also required. Neuberger Berman BD LLC will arrange the transfer for you. Please enclose a copy of your latest statement with this Transfer of Assets Form.
- Do not use this Form if you are transferring assets directly from a Qualified Retirement Plan or 403(b) Plan. Please call us at 800.877.9700 to request a Direct Rollover Kit.
- Please return this Form to:

Regular Mail: Neuberger Berman Funds PO Box 219189 Kansas City, MO 64121-9189	Overnight Mail: Neuberger Berman Funds 430 West 7th Street, Suite 219189 Kansas City, MO 64105-1407
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- This form may be faxed to 816.218.0478. Please note: We do not accept faxes that require a medallion signature guarantee.

PLEASE TYPE OR PRINT CLEARLY IN INK

1 ACCOUNT INFORMATION

Name: First Middle Last

Address Apt. Number

City State Zip Code

Social Security Number

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Daytime Telephone Number E-mail (optional)

2 PRESENT CUSTODIAN OR TRUSTEE INFORMATION

Present Custodian or Trustee

Address

City State Zip Code

Name of Mutual Fund or CD Maturity Date, if applicable

Account Number(s)

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Contact Name Telephone Number

3 INSTRUCTIONS TO PRESENT CUSTODIAN OR TRUSTEE

Please liquidate and transfer to UMB Bank, n.a. as successor Custodian:

All assets in my account (or) \$ _____
(Partial Transfer)

In Kind Liquidate

This transfer should be made:

Immediately

Upon maturity of the current investment.
The maturity date is ____/____/____.

Make check payable to:
Neuberger Berman Funds
c/o UMB Bank, n.a. Custodian, FBO

IRA Owner's Name

4 NEUBERGER BERMAN BD LLC FUND ACCOUNT INFORMATION

I have established a(n)

IRA SEP-IRA ROLLOVER-IRA

ROTH IRA ROTH CONVERSION IRA SIMPLE

with Neuberger Berman Investment Advisers LLC

Account Number (if available)

Please invest my transfer of assets as follows:

Please read the prospectus for information on funds that are closed to investors. Please read the prospectus for information on funds that are subject to a redemption fee on the sale or exchange of shares.

Fund _____ \$ _____ or _____ %

Fund _____ \$ _____ or _____ %

Fund _____ \$ _____ or _____ %

Total \$ _____ 100%

5 SIGNATURE

Please accept this as your authorization and instruction to liquidate the assets noted in Sections 2 and 3. I am aware of and acknowledge any early withdrawal penalties that may apply.

X

Signature

Date

STAMP 2000/MEDALLION SIGNATURE GUARANTEE (if necessary)

NOTE: To complete this transfer, the present Custodian or Trustee of your IRA/ROTH IRA may require a signature guarantee. Please contact your existing Custodian or Trustee for their requirements.

6 ACCEPTANCE (For UMB Bank, n.a. Use Only)

UMB Bank, n.a. accepts its appointment as Custodian of the above-referenced account and requests the transfer of assets as indicated above.

X

Authorized Signature

Date

Instructions for delivery:

Mail check to:

Neuberger Berman Funds
PO Box 219189
Kansas City, MO 64121-9189

***Send overnight check to:**

Neuberger Berman Funds
430 West 7th Street, Suite 219189
Kansas City, MO 64105-1407

***Wire funds to:**

State Street Bank/Boston
ABA #011-000028
Attention: NB Deposit Account
DDA: 9904-199-8
Name of Fund(s) in CAPS
IRA Owner's Name
IRA Account Number

*Fee Might be Charged from Delivering Custodian