



# ASSET TRANSFER

For assistance in completing this form, please contact the Northern Funds Center at **800-595-9111** weekdays from 7:00 a.m. to 5:00 p.m. Central time. Please mail your application to: Northern Funds, P.O. Box 75986, Chicago, IL 60675-5986 or fax your form to: **312-557-0411**.

Please print all information.

## 1 PROVIDE YOUR TRANSFER INFORMATION

This form is specific to **non-retirement accounts** and can be used to purchase shares of Northern Funds by redeeming and transferring all or part of your current holdings in an existing mutual fund account to Northern Funds.

### TRANSFER FROM:

NAME OF MUTUAL FUND COMPANY		PHONE NUMBER	
NAME ON ACCOUNT			
ADDRESS	CITY	STATE	ZIP
FUND NAME	ACCOUNT NUMBER		
FUND NAME	ACCOUNT NUMBER		

### TRANSFER TO:

**Existing Accounts:** I am currently a shareholder of one or more of the Northern Funds. I have listed below the accounts where the assets should be transferred to.

NAME ON ACCOUNT		
FUND NAME	ACCOUNT NUMBER	\$ / %
FUND NAME	ACCOUNT NUMBER	\$ / %

**New Account:** I would like to open a new account (*this form must be accompanied by the Northern Funds New Account Application*).

## 2 AMOUNT TO BE REDEEMED

Assets are either transferred in-kind or liquidated and transferred in cash. Also, you may be responsible for liquidation or termination fees when you transfer your assets. Check with the firm holding your funds to determine eligibility to transfer in-kind and information regarding these fees.

Please redeem from the "Transfer From" account identified in Step 1 (check one):

All of my shares; OR  \_\_\_\_\_ number of shares; OR  \$ \_\_\_\_\_ of my investment)

Issue a check payable to Northern Funds FBO \_\_\_\_\_  
NAME ON NORTHERN FUNDS ACCOUNT

Send the check to: Northern Funds Center, P.O. Box 75986, Chicago, IL 60675-5986.

Transfer my entire account, including cash, in-kind (available only for eligible positions).

**3 SIGN YOUR NAME**

All account owners or trustees must sign below. For UGMA/UTMA accounts, the custodian must sign. Please sign exactly as your name appears on your account.

**Please confirm with your current mutual fund group if a Medallion signature guarantee\* is required.**

- If share certificates were issued for your current investment, they must be duly endorsed and accompany this form. For your protection, you are encouraged to send them by registered mail.
- The Northern Funds Center will process this transfer request for you upon receipt of the properly completed form and notify you by mail when the redemption proceeds have been invested in Northern Funds. Your investment in Northern Funds will be priced at the net asset value next determined after your redemption proceeds are received.
- Neither Northern Funds, nor its agents or representatives, will be responsible for any errors, delays or losses resulting from the processing of the transfer request by your existing mutual fund and its agents.

_____ SIGNATURE	_____ PRINTED NAME	_____ DATE
_____ SIGNATURE	_____ PRINTED NAME	_____ DATE

**4 MEDALLION SIGNATURE GUARANTEE\***

Your current mutual fund group may require a Medallion signature guarantee. You can obtain a Medallion signature guarantee from a commercial bank or trust company, a member firm of a national stock exchange, or from an eligible guarantor institution as defined by the Securities and Exchange Commission.

**MEDALLION SIGNATURE GUARANTEE IS REQUIRED IF:**

- Payment is equal to or greater than \$100,000
- Electronic payment is to a bank account not on file
- The payment recipient is someone other than the account owner
- Payment is being sent to an address that is different from the address of record
- Funds are being transferred to another Northern Funds account that is not registered to the account owner

**SIGNATURE GUARANTEED BY:**

**AFFIX SIGNATURE GUARANTEED STAMP**

\_\_\_\_\_  
NAME OF BANK OR FIRM

\_\_\_\_\_  
SIGNATURE OF OFFICER AND TITLE