

# Change of Account Ownership Form



This form may be used to change the ownership of an existing account or transfer shares from an existing non-retirement account into a new or existing non-retirement account. **All transfers to a new account will require a New Account Application.**

Please complete all sections and mail it to the address at the end of this form.

## 1. Current Account Information (Please print)

Account Owner's Name \_\_\_\_\_ Joint Account Owner's Name (if applicable) \_\_\_\_\_

Residential Address \_\_\_\_\_

Daytime Phone Number \_\_\_\_\_

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

## 2. Transferring to Receiving Account Information (Please select one of the following.)

- Transferring to a New Account (**A completed New Account Application will be required.**)
- Transferring to an Existing Account # \_\_\_\_\_

## 3. Reason for Ownership Change (Please provide the reason for the change of ownership/transfer of shares.) If a reason is not provided, this transfer will be defaulted to a transfer due to a gift.

As part of the Energy Improvement and Extension Act of 2008, mutual fund companies will be required to provide cost basis reporting to the Internal Revenue Service (IRS) and to taxpayers on mutual fund shares and dividend reinvestment plan shares (or similar arrangements) acquired on or after **January 1, 2012** and subsequently redeemed ("covered shares"). For all shares held prior to January 1, 2012 ("noncovered shares") The fund does not maintain historic lot information.

### Re-registration:

- Change of Ownership due to divorce\*
- Change of Ownership on a Trust Account\*
- Change from an Individual to a Joint Account\*
- Change of Custodian/Guardian (UGMA/UTMA)
- Change of Ownership from an Individual or Joint Account to a Trust Account\*
- Inheritance\***: (Change of Ownership due to death of shareowner)  
Date of Death: \_\_\_\_/\_\_\_\_/\_\_\_\_ (required)  
Alternate Date: \_\_\_\_/\_\_\_\_/\_\_\_\_ or Alternate Value \$\_\_\_\_ (optional)
- Change of Ownership Minor has reached age of majority (UGMA/UTMA)\*
- Change of registration to a Transfer on Death (TOD) Account\*
- Change the Trustee on a Trust Account

There is a special rule under the estate tax that allows the executor (the person in charge of the estate) to elect a different valuation date in certain cases. Please consult your tax advisor for additional information.

- Gift\***: (Change of Ownership due to gifting of shares)

Date of Gift: \_\_\_\_/\_\_\_\_/\_\_\_\_

Fair Market Value Acceptance \_\_\_\_\_  
(signature of new owner)

*(If the recipients existing account or new account will use the Average Cost accounting method, they must sign above indicating acceptance of the shares valued at fair market value of the date of gift or settlement date if the shares should be transferred at a loss.)*

**\*A completed New Account Application is required.**

## 4. Cost Basis information – Transfer Override Options

The cost basis method that is currently on your account will be utilized to deplete the shares for this transaction unless you provide specific share lots or provide an alternate election method.

Use the cost basis method currently assigned to my account.

Or, change to one of the following, **for this transaction only**:

First-In First-Out

Last-In First-Out

High Cost

Low Cost

Loss/Gain Utilization

Specific lot Identification *(If the share amount does not cover the depletion of the transfer, your secondary method or elected method may be utilized to complete this transfer. This is only necessary for partial transfers.)*

Date of Purchase \_\_\_\_/\_\_\_\_/\_\_\_\_ Number of Shares \_\_\_\_\_

Date of Purchase \_\_\_\_/\_\_\_\_/\_\_\_\_ Number of Shares \_\_\_\_\_

Date of Purchase \_\_\_\_/\_\_\_\_/\_\_\_\_ Number of Shares \_\_\_\_\_

**Note: If you elect Specific Lot Identification as your cost method, you may select from both covered and noncovered shares for your transfer request. The Fund does not maintain historic lot information for noncovered shares.**

## 5. Amount to Transfer (Please choose one of the following options.)

Transfer all shares of the fund/account specified in Step 1.

Partial Transfer: \$ \_\_\_\_\_ or \_\_\_\_\_ shares of the fund/account specified in Step 1.

Transfer shares from multiple fund/accounts. (Please list the accounts and share amounts below):

Account Number \_\_\_\_\_ Share Amount \_\_\_\_\_

Account Number \_\_\_\_\_ Share Amount \_\_\_\_\_

## 6. Signatures and Authorization

*In order to complete your request, all of the authorized signers must sign below exactly as their names appear on your account (if signing on behalf of the account owner, please include your designated title). A Medallion Signature Guarantee will 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.

**By signing below, the owner(s) of the above referenced account(s) hereby authorize(s) the change of account ownership or transfer of shares specified in this form.**

\_\_\_\_\_  
Account Owner's Signature and Date

\_\_\_\_\_  
Title (if acting on behalf of the Account Owner)

Affix Medallion Signature Guarantee stamp.

\_\_\_\_\_  
Joint Account Owner's Signature and Date

\_\_\_\_\_  
Title (if acting on behalf of the Account Owner)

Affix Medallion Signature Guarantee stamp.

**Please return the completed form to the address below:**

Regular mail:

Baron Funds  
P.O. Box 219946  
Kansas City, MO 64121-9946

Overnight:

Baron Funds  
c/o DST Systems, Inc.  
430 W. 7th Street  
Kansas City, MO 64105-1514

If you have any questions or to ensure that all legal requirements are met, please call Shareholder Services at (800) 442-3814.