



# Harbor Rollover Request From Qualified Retirement Plan

## Questions?

Call 800-422-1050

To obtain additional forms or to complete this form online, visit us at [www.harborfunds.com](http://www.harborfunds.com).

Use this form to fund an IRA with a rollover from an existing Qualified Retirement Plan (QRP). Please print in capital letters and in black ink.

## Step 1 Account Owner Information

First Name M.I. Last Name

Social Security Number Date of Birth (mm/dd/yyyy)

Street Address or P.O. Box Number

City State Zip Code

Daytime Telephone Number Evening Telephone Number

Designate the type of IRA receiving the rollover funds. >

### IRA Account Information:

Traditional IRA  Roth IRA

Existing Harbor Funds Account Number

## Step 2 Distributing QRP Plan Information

Plan Name Participant Name

Employer Name Employer Telephone Number

Employer Street Address or P.O. Box Number

City State Zip Code

## Step 3 Allocation of IRA Assets

Select one and allocate among your Fund choices. >

Directly roll over 100% of the proceeds of my plan as follows:

Liquidate \$  worth of assets and directly roll over proceeds as directed below.

For Fund numbers, Fund names, and minimum initial investment amounts, please see the **Fund List** provided. >

Provide additional allocation of IRA Assets on a separate sheet, if needed.

Fund Name:	Number:	Amount:
<input type="text"/>	<input type="text"/>	\$ <input type="text"/> or <input type="text"/> %
<input type="text"/>	<input type="text"/>	\$ <input type="text"/> or <input type="text"/> %
<input type="text"/>	<input type="text"/>	\$ <input type="text"/> or <input type="text"/> %
TOTAL		\$ <input type="text"/> or <input type="text"/> %

## Step 4 Commingling Authorization *Choose only one*

Commingling assets from a QRP with regular IRA assets may prohibit rolling over those assets to another QRP.

**With this knowledge:**

Do commingle these direct rollover assets with my other IRA assets.

Do not commingle these direct rollover assets with my other IRA assets.

## Step 5 Signature & Certification

**Sign below:**

I authorize the plan administrator to send my eligible rollover distribution to the IRA Custodian, for credit to my IRA with Harbor Funds. I irrevocably designate the deposit as a rollover contribution. I understand that neither the IRA Custodian nor the Shareholder Servicing Agent is responsible for determining what part, if any, of this distribution is eligible for rollover. I certify that the information provided on this form is true and correct and may be relied on by the IRA Custodian. Due to the important tax consequences of this transaction, I agree to seek the advice of a legal or tax professional, as needed. Neither the IRA Custodian nor the Shareholder Servicing Agent has provided me with any legal or tax advice, and I assume full responsibility for this transaction. I will not hold the IRA Custodian nor the Shareholder Servicing Agent liable for any adverse consequences that may result from this transaction.

**Owner/Authorized Person Sign Below:**



Signature

Date (mm/dd/yyyy)

**Mail completed form to:**

Standard Mail  
Harbor Funds  
P.O. Box 804660  
Chicago, IL 60680-4108

Overnight Delivery  
Harbor Funds

111 South Wacker Drive, 34th Floor  
Chicago, IL 60606-4302

# Step

# 6

## Required Minimum Distributions *To be completed by Distributing QRP Plan*

Complete this Step only if the plan participant has passed their required beginning date.

Do **not** send the required minimum distribution amount.

The life expectancy of the participant:  is being recalculated  
 is not being recalculated

The life expectancy of the designated beneficiary:  is being recalculated  
 is not being recalculated

### Designated beneficiary:

Name

Spouse

Other

Date of Birth (mm/dd/yyyy)

# Step

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## Receiving IRA Plan Information *For office use only*

### IRA established for:

First Name

M.I.

Last Name

Harbor Funds Account Number

State Street Bank and Trust Company accepts the above rollover from the Qualified Retirement Plan to an IRA account established with Harbor Funds for the above referenced shareholder. Please make checks payable to Harbor Funds FBO (Participant Name) and forward to: **Harbor Funds, P.O. Box 804660, Chicago, IL 60680-4108**. If you have any questions about this rollover, contact us at 1-800-422-1050.

### Authorized Person Sign Below:



Harbor Funds Authorized Signature

Date (mm/dd/yyyy)



# Harbor Fund List

The International, International Growth, Global Value, Global Growth, Commodity Real Return Strategy, High-Yield Bond, Flexible Capital, Convertible Securities and Emerging Markets Debt funds may be subject to a redemption fee.

Please refer to the most current prospectus or summary prospectus for the minimum initial investment requirements.

**Investors should carefully consider the Fund's investment objectives, risks, charges and expenses before investing. To obtain a summary prospectus or prospectus for this and other information about the Fund, visit [harborfunds.com](http://harborfunds.com) or call 800-422-1050. Read it carefully before investing.**

Domestic Equity	Fund Number	Stock Ticker
<b>Capital Appreciation Fund</b>		
Institutional Class	2012	HACAX
Administrative Class*	2212	HRCAX
Investor Class	2412	HCAIX
<b>Mid Cap Growth Fund</b>		
Institutional Class	2019	HAMGX
Administrative Class*	2219	HRMGX
Investor Class	2419	HIMGX
<b>Small Cap Growth Fund - closed to new investors</b>		
Institutional Class	2010	HASGX
Administrative Class*	2210	HRSGX
Investor Class	2410	HISGX
<b>Large Cap Value Fund</b>		
Institutional Class	2013	HAVLX
Administrative Class*	2213	HRLVX
Investor Class	2413	HILVX
<b>Mid Cap Value Fund</b>		
Institutional Class	2023	HAMVX
Administrative Class*	2223	HRMVX
Investor Class	2423	HIMVX
<b>Small Cap Value Fund</b>		
Institutional Class	2022	HASCX
Administrative Class*	2222	HSVRX
Investor Class	2422	HISVX

International & Global	Fund Number	Stock Ticker
<b>International Fund</b>		
Institutional Class	2011	HAINX
Administrative Class*	2211	HRINX
Investor Class	2411	HIINX
<b>International Growth Fund</b>		
Institutional Class	2017	HAIGX
Administrative Class*	2217	HRIGX
Investor Class	2417	HIIGX
<b>Global Value Fund</b>		
Institutional Class	2027	HAGVX
Administrative Class*	2227	HRGVX
Investor Class	2427	HIGVX
<b>Global Growth Fund</b>		
Institutional Class	2030	HGGAX
Administrative Class*	2230	HRGAX
Investor Class	2430	HGGIX

Strategic Markets	Fund Number	Stock Ticker
<b>Commodity Real Return Strategy Fund</b>		
Institutional Class	2029	HACMX
Administrative Class*	2229	HCMRX
<b>Unconstrained Bond Fund</b>		
Institutional Class	2032	HAUBX
Administrative Class*	2232	HRUBX
<b>Flexible Capital Fund</b>		
Institutional Class	2033	HAFLX
Administrative Class*	2233	HRFLX
Investor Class	2433	HIFLX

Fixed Income	Fund Number	Stock Ticker
<b>Convertible Securities Fund</b>		
Institutional Class	2034	HACSX
Administrative Class*	2234	HRCSX
Investor Class	2434	HICSX
<b>Emerging Markets Debt Fund</b>		
Institutional Class	2035	HAEDX
Administrative Class*	2235	HREDX
<b>High-Yield Bond Fund</b>		
Institutional Class	2024	HYFAX
Administrative Class*	2224	HYFRX
Investor Class	2424	HYFIX
<b>Bond Fund</b>		
Institutional Class	2014	HABDX
Administrative Class*	2214	HRBDX
<b>Real Return Fund</b>		
Institutional Class	2025	HARRX
Administrative Class*	2225	HRRRX
<b>Money Market Fund**</b>		
Institutional Class	2015	HARXX
Administrative Class*	2215	HRMXX

\* Administrative Class Funds are not available for Individual Retirement Account types.

\*\*An investment in the Harbor Money Market Fund is not guaranteed by the FDIC or any other government agency. Although the Fund seeks to preserve the value of your investment at \$1.00 per share, it is possible to lose money by investing in the Fund.