

# Transfer of Ownership Form

PO Box 219109 • Kansas City, MO 64121-9109 • 800-240-4313

**Questions?**  
call us at 800-240-4313

Please complete this form and a Janus Henderson Account Application (if necessary) to change the ownership of an existing account or to transfer ownership of shares to another account. **DO NOT USE THIS FORM FOR RETIREMENT ACCOUNTS.**

- Please contact Janus Henderson if you are transferring shares from a corporation, trust, partnership, as a result of the death of an account owner or if the assets are held in a retirement account. Additional documentation may be required.
- If you are transferring shares represented by a physical certificate, please call for additional instructions.
- Shares will be transferred to the identical fund(s) and will be depleted using the existing cost basis method on the account.
- It is recommended that you seek professional tax advice when transferring ownership of shares.
- Please print or type using black ink.

## Step 1 - List the name(s) on your current account

Please indicate information for the account from which you are transferring shares. Complete this section with your information as it currently appears on your account statement.

### Primary Owner/Trustee

First Name	Middle Initial	Last Name
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Social Security Number	Date of Birth	Phone Number
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### Joint Owner/Trustee/Custodian (if applicable)

First Name	Middle Initial	Last Name
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Social Security Number	Date of Birth	Phone Number
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### Trust/Other Entity Account information (if applicable)

Trust/Other Entity Name	Tax Identification Number
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**Remember to sign on the last page**

## Step 2 - List the assets that will be transferred

All assets should be transferred from account: \_\_\_\_\_

Partial transfer from the funds/accounts as indicated below (indicate %, shares or \$ amount):

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Fund Name or Number	Account Number	%, # of Shares or \$ Amount
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Fund Name or Number	Account Number	%, # of Shares or \$ Amount
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Fund Name or Number	Account Number	%, # of Shares or \$ Amount
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## Step 3 - Let us know how these shares will be transferred (complete option A, B or C)

### Option A

- Re-registration of shares** - Used when at least one owner will remain on the new account. My existing shares will be transferred as directed in Step 4. The cost basis for covered shares (purchased after 01/01/12) will transfer to the new account.
- Adding or removing a joint owner
  - Individual/Joint account to a trust
  - Adding or removing a trustee
  - Trust account to an individual or joint account
  - Inherited account - Call 800-240-4313 for instructions
  - Divorce
  - Other: \_\_\_\_\_

### Option B

- Gift of shares** - Used when all or part of an account is transferred to new owners as a gift. My existing shares will be transferred to the account referenced below. The cost basis for covered shares (purchased after 01/01/12) will transfer to the new account unless the transfer results in a loss.\* Any realized gains/losses related to this sale will be reportable to the new owner.

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\***Signature of New Owner** (*acceptance of Fair Market Value*)

\***Fair Market Value (FMV) acceptance:** If shares are gifted at a loss and the receiving account will use Average Cost as the cost basis method, the new account owner must sign in this section. Otherwise, Janus Henderson will use First-In First-Out (FIFO) to calculate cost basis.

Janus Henderson will use the date of transfer to determine FMV unless otherwise instructed in writing.

**Remember to sign on the last page**

### Step 3 - (continued)

#### Option C

- Sale of shares** - My existing shares will be sold. The proceeds from the sale will be deposited into the account referenced below and new shares will be purchased. Any realized gains/losses related to this sale will be reportable to me.

**Notes:**

- If no box is checked and Janus Henderson cannot determine the reason for transfer, the transaction will be reported as a gift of shares.
- Please consult a tax advisor to determine the appropriate handling for your specific situation. While our processes generally apply the IRS rules regarding the basis of gifted, re-registered or inherited securities, they do not account for all possible situations that may affect your cost basis. Therefore, it is important to work closely with a tax advisor when transferring and/or selling assets obtained by gift or inheritance in order to have the most accurate basis information and to communicate that information to Janus Henderson so our reporting is accurate.

### Step 4 - List where these assets will be transferred to (complete option A or B)

Please indicate the existing account number you wish to transfer to, or include the appropriate Janus Henderson Account Application. *Additional space is available on the last page if needed.*

**To account information:**

#### Option A

- New Account (application attached)

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New Account Owner's Name	Middle Initial	Last Name
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Joint Account Owner's Name (if applicable)	Middle Initial	Last Name
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#### Option B

- Existing Account Number: \_\_\_\_\_

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New Account Owner's First Name	Middle Initial	Last Name
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Joint Account Owner's Name (if applicable)	Middle Initial	Last Name
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**Remember to sign on the last page**

## Step 5 - Please review and sign below to authorize this request

All owners must sign. (Signature guarantee is required in most cases.)



X \_\_\_\_\_  
Signature of Owner, Trustee or Custodian Date

\_\_\_\_\_  
Printed Name of Owner, Trustee or Custodian

**SIGNATURE GUARANTEE STAMP**  
(Including Medallion Guarantees)



X \_\_\_\_\_  
Signature of Joint Owner or Co-Trustee (if applicable) Date

\_\_\_\_\_  
Printed Name of Joint Owner or Co-Trustee (if applicable)

**SIGNATURE GUARANTEE STAMP**  
(Including Medallion Guarantees)

**PLACE GUARANTEE STAMP AND AUTHORIZED SIGNATURE INSIDE OF THE SPACE PROVIDED ABOVE. DO NOT OVERLAP ANY PART OF THE STAMP AND/OR SIGNATURE WITH OTHER TEXT IN THE APPLICATION.**

A signature guarantee assures a signature is genuine and protects you from unauthorized requests on your account. Financial institutions that may guarantee signatures include banks, savings and loans, trust companies, credit unions, broker/dealers and member firms of a national securities exchange. Contact the financial institution you intend to obtain a signature guarantee from for further information. **A notary public cannot provide a signature guarantee.**



## U.S. Equity

Contrarian Fund (61)  
Forty Fund (46)  
Growth & Income Fund (40)  
Large Cap Value Fund (35)  
Mid Cap Value Fund (67)  
Research Fund (48)  
Small Cap Value Fund (65)  
Small - Mid Cap Value Fund (85)  
U.S. Managed Volatility Fund (26)

## Fixed Income

Absolute Return Income Opportunities Fund (90)  
Developed World Bond Fund (71)  
Flexible Bond Fund (49)  
Global Bond Fund (80)  
High-Yield Fund (57)  
Multi-Sector Income Fund (89)  
Short-Term Bond Fund (52)

## Alternatives

Diversified Alternatives Fund (87)

## Money Market

Government Money Market Fund (38)  
Money Market Fund (37)\*

## Global/International Equity

Asia Equity Fund (83)  
Dividend & Income Builder Fund (33)  
Emerging Markets Fund (39)  
Emerging Markets Managed Volatility Fund (32)  
European Focus Fund (47)  
Global Equity Income Fund (53)  
Global Income Managed Volatility Fund (84)  
Global Life Sciences Fund (59)  
Global Real Estate Fund (31)  
Global Research Fund (41)  
Global Select Fund (62)  
Global Technology Fund (60)  
Global Value Fund (64)  
International Managed Volatility Fund (30)  
International Opportunities Fund (58)  
International Small Cap Fund (63)  
International Value Fund (88)  
Overseas Fund (54)

## Asset Allocation

Adaptive Global Allocation Fund (44)  
Balanced Fund (51)  
Global Allocation Fund - Conservative (78)  
Global Allocation Fund - Growth (76)  
Global Allocation Fund - Moderate (77)  
Value Plus Income Fund (36)

\*Positions in Money Market Fund other than those beneficially owned by natural persons may no longer be opened. If this fund is selected to open an account that is not beneficially owned by a natural person, the purchase will be deposited into Government Money Market Fund.