

GABELLI FUNDS

NON-RETIREMENT ASSET TRANSFER FORM

Use this form to either: **redeem/liquidate** non-retirement assets you currently own with another financial institution and have the liquidation proceeds sent to Gabelli Funds to purchase shares of one or more Gabelli mutual funds; or **transfer in kind** non-retirement Gabelli mutual fund shares you currently hold at another financial institution and have the Gabelli mutual fund shares transferred to Gabelli.

Please note the following:

- Contact your financial institution where the funds are currently held to determine if any additional forms are required to: **1) redeem/liquidate** your assets at your financial institution, or **2) transfer in kind** your Gabelli mutual fund shares.
- Include a completed **Gabelli Funds Account Application** if you are opening a new account.
- Include a copy of your most recent account statement(s) provided by the financial institution where your assets or Gabelli mutual fund shares are currently held.
- If you are requesting to redeem/liquidate assets and have the proceeds sent to Gabelli to purchase shares or one or more Gabelli mutual funds, this may be a taxable event.
- Do **NOT** use this form to transfer **certificates of deposit (CDs) or annuities**.
- Do **NOT** use this form to transfer any retirement plan assets; please use the **Gabelli IRA Rollover/Transfer form**.

1. ACCOUNT REGISTRATION WITH THE RELEASING FINANCIAL INSTITUTION

Note: A Gabelli Funds Account Application is required for new account(s).

Owner/Trust name	Joint owner (if applicable)
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Additional registration information

SSN/ITIN	Primary phone number
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2. CONTACT INFORMATION FOR THE RELEASING FINANCIAL INSTITUTION

Name of releasing financial institution	Phone number	Contact name (if applicable)
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Mailing address of releasing financial institution	City	State	ZIP
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3. INSTRUCTIONS TO THE RELEASING FINANCIAL INSTITUTION

Releasing Institution: The customer(s) signing in Section 5 is (are) requesting you to redeem/liquidate/transfer in kind the investment(s) listed below. All other securities should be liquidated in accordance with the instructions and authorization provided by your client(s) and proceeds sent by check payable to Gabelli, FBO Name of Account Owner(s). Mail the check(s) to the address listed at the bottom of page 4.

Name of investment to be redeemed/ liquidated/transferred in kind	Account Number		\$ Amount OR % OR Shares
		<input type="checkbox"/> Transfer in Kind or <input type="checkbox"/> Full Liquidation	
		<input type="checkbox"/> Transfer in Kind or <input type="checkbox"/> Full Liquidation	
		<input type="checkbox"/> Transfer in Kind or <input type="checkbox"/> Full Liquidation	

Questions? Please call Gabelli Funds at 800-GABELLI (800-422-3554).

4. TRANSFER IN KIND OR PURCHASE(S) OF GABELLI MUTUAL FUNDS

Note: If no dollar amount or percentage is indicated below, your funds will be apportioned equally among all selected funds. Class AAA shares will be purchased if no class of shares is selected.

4A Check One: Please specify if your request is a transfer in kind or a purchase of Gabelli mutual fund shares.

☐ My Gabelli mutual fund(s) should be transferred in kind from my current financial institution to Gabelli.

OR

☐ My liquidation proceeds should be used to purchase Gabelli mutual fund shares.

4B Check One: Please select one of the choices below.

*I am opening a new Gabelli account. Please refer to my completed **Gabelli Account Application** (enclosed) for my investment instructions*

OR

Please invest the liquidation proceeds or Gabelli transfer in kind shares into my existing Gabelli fund account(s) as follows:

Gabelli Fund Name	Share Class	Fund - Account Number	\$ Amount OR Investment

6. TRANSFER IN KIND OR LIQUIDATION/PURCHASE AUTHORIZATION AND SIGNATURE(S)

All registered owners of the investments in Section 3 must sign below. If required by the releasing financial institution, all registered owners must have their signature guaranteed. Contact your financial institution where the assets or the Gabelli mutual fund shares are currently held to determine if any additional form(s) is (are) required to redeem/liquidate your assets or transfer in kind your Gabelli mutual fund shares currently held at your financial institution. Please have each signature separately guaranteed by a bank, savings and loan association, trust company, credit union, broker/dealer, or any other "eligible guarantor institution" as defined under the rules adopted by the Securities and Exchange Commission. These institutions often participate in signature guarantee medallion programs such as the Securities Transfer Agent Medallion Program (STAMP). A notary public cannot provide a signature guarantee.

X		X	
Signature	Date	Signature	Date

MEDALLION GUARANTEED BY:

MEDALLION GUARANTEED BY: