



# Redemption Form

(FOR NON RETIREMENT ACCOUNTS)

This form may be used to request a redemption from your Baron Capital® non-retirement account. Please refer to the Baron Funds® Prospectus for additional information regarding redemptions.

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

## 1. Account Information (Please Print.)

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

Address of Record \_\_\_\_\_

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

List only the account(s) from which you would like the redemption taken.

Fund Name/Number \_\_\_\_\_ Account Number \_\_\_\_\_ Redemption Amount (see section 2. below) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## 2. Redemption Amount (Please select one of the following.)

Partial redemption \$ \_\_\_\_\_ or \_\_\_\_\_ shares per fund/account. If redeeming multiple fund/accounts please indicate if amounts should be different in section 1.\*

Full redemption per fund/account\*

\* A Medallion Signature Guarantee is required in Step 4 if you request a distribution for more than **\$100,000.00** per fund.

## 3. Cost Basis Method and Options Used

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

*If the share amount does not cover the depletion of the redemption, your secondary method or elected method may be utilized to complete this redemption. This is only necessary for a partial redemption.*

First-In First-Out

Low Cost

Last-In First-Out

Loss/Gain Utilization

High Cost

Specific Lot Depletion:

Date of Purchase \_\_\_\_/\_\_\_\_/\_\_\_\_\_

Number of Shares \_\_\_\_\_

Date of Purchase \_\_\_\_/\_\_\_\_/\_\_\_\_\_

Number of Shares \_\_\_\_\_

Date of Purchase \_\_\_\_/\_\_\_\_/\_\_\_\_\_

Number of Shares \_\_\_\_\_

If transferred shares were purchased prior to January 1, 2012 (non-covered shares), we **may** be able to provide average cost for these shares upon depletion.

*Note: Client Fund Options*

- Average Cost for covered shares will be provided to you and the IRS on your 1099-B. This information will be noted as covered for the IRS, and you can choose to use it for tax purposes.
- Average Cost for non-covered shares will be provided to you on your 1099-B and you can choose to use the information for your taxes. The information will not be provided to the IRS.

Please provide average cost information on my non-covered shares when available.

- I understand non-covered shares will be redeemed first and covered shares will be redeemed using the method elected above, after all non-covered shares have been depleted.
- I understand that if I chose Specific Lot I will not be eligible to receive average cost on my non-covered shares.

#### 4. Method of Payment

**Please select one of the following.**

- Send my redemption check to my address of record.\*
- Send my redemption check to an address other than my address of record.\*

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Payee Name

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Street Address or P.O. Box

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City, State, Zip

Send my redemption proceeds to my bank. *(In order for us to send the proceeds to your bank please select one of the following methods. If bank instructions are not already on file, **please attach a pre-printed, voided check** and provide a Medallion Signature Guarantee in Step 4.)*

**Please select one of the following.**

- ACH (requires up to three business days, at no charge)
- Fed Wire (next day, for an additional charge of \$10, deducted directly from the distribution proceeds)

**Please select one of the following.**

- Send my redemption check to my bank instructions on file.
- Send my redemption check to bank instructions not on file.\*

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Bank's Name

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Bank Routing Number

Checking or Savings

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Account Registration

Account Number

\* A Medallion Signature Guarantee is required in Step 4 if you request a redemption to be sent to an address other than the address of record, the check is not made payable to the registered owner, the address of record has been changed within the last 30 days, or the above bank instructions are different than the bank instructions of record.

## 5. Authorization

In order to complete your request, the required number of authorized signers must sign below exactly as their names appear on the 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 acctomt(s) hereby authorizes the redemption request specified in this form.**

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

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

\_\_\_\_\_  
**Joint Account Owner's Signature** **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 Capital®  
P.O. Box 219946  
Kansas City, MO 64121-9946

**Overnight Mail:**  
Baron Capital®  
801 Pennsylvania Ave, Suite 219946  
Kansas City, MO 64105-1307

If you have any questions or to ensure that all legal requirements are met, please contact a Baron Capital® representative at (800) 442-3814.