



## ! Important Instructions for completing this form.

The form you requested follows this page. You can either complete it on your computer and then print it out, or print it out first and fill it in by hand.

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Follow these easy steps to complete your form:

1. Scroll down and type the requested information in the corresponding field.
  - You can move among the fields by using your mouse or the "Tab" key.
  - If you'd like to clear all the fields you've completed, click the "Reset Form" button.
2. When you've completed the form, click the "Print Form" button.  
***Please note Adobe® Acrobat® Reader® does not allow you to save your work. It's very important that you print out your form immediately after completing it.***
3. When your form is complete, please review it, sign it, and mail it to

U.S. Global Investors, Inc.  
Attn: Shareholder Services  
PO Box 781234  
San Antonio TX 78278-1234

**OR**

For overnight delivery:

U.S. Global Investors, Inc.  
Attn: Shareholder Services  
7900 Callaghan Rd  
San Antonio TX 78229-2327

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Be sure to enclose any accompanying materials with your form (such as a check for an initial deposit to open a new account). If you have any questions, or need help, just call us at (800) 873-8637.



# Individual Retirement Account (IRA) or Coverdell Education Savings Account (ESA) Correction of Excess Contribution

- Verify and/or complete the following information to correct an excess contribution in an IRA or ESA. If you wish to open a new U.S. Global Investors family of funds mutual fund account to invest distributions, also complete a new Account Application available on [www.usfunds.com](http://www.usfunds.com).
- Return completed and signed form to U.S. Global Investors family of funds.

## 1. PERSONAL INFORMATION

First Name	MI	Last Name
Social Security Number	Birth Date (mm/dd/yy)	Daytime Phone Number (include area code)

## 2. CORRECTION INFORMATION

When required, excess earnings or losses will be calculated by U.S. Global Shareholder Services.

- Traditional IRA     Roth IRA     SEP IRA     SIMPLE IRA     Coverdell ESA

## 3. FUND ACCOUNT AND EXCESS AMOUNT

U.S. Global Investors family of funds - IRA/ESA account number \_\_\_\_\_  
Excess Amount \$ \_\_\_\_\_ Tax Year \_\_\_\_\_

U.S. Global Investors family of funds - IRA/ESA account number \_\_\_\_\_  
Excess Amount \$ \_\_\_\_\_ Tax Year \_\_\_\_\_

U.S. Global Investors family of funds - IRA/ESA account number \_\_\_\_\_  
Excess Amount \$ \_\_\_\_\_ Tax Year \_\_\_\_\_

**NOTE:** If the correction of excess is more than \$50,000, a medallion signature guarantee is required.

## 4. METHOD OF CORRECTION

The following elections apply when the excess contribution is corrected BEFORE your tax filing date, including extensions:

- I am requesting that my excess contribution AND the excess earnings be withdrawn before I file my tax return. The excess earnings are included as income for the year in which the excess contribution occurred. The excess earnings may be subject to a 10% premature distribution penalty if I am under the age of 59 ½ and not disabled.
- I am requesting that the excess contribution be carried over to a later year, for which I will reduce my IRA or Coverdell ESA contribution by the amount of the excess contribution. The excess contribution may be subject to a 6% penalty tax for the year it was made and each subsequent year in which it is not corrected (ex. by under-contributing). The earnings on the excess will remain in the account. If you choose this option, keep this form for your records. There will be no changes to your account. This option is not available for SIMPLE IRAs.

The following elections apply when the excess contribution is corrected AFTER your tax filing date:

- I am requesting a distribution of my excess contribution after the deadline for filing my tax return. The excess contribution will be subject to a 6% penalty tax for each year it remains in my account. If I took a deduction for the year of the excess contribution, I will file an amended tax return removing the excess contribution. The earnings on the excess will remain in the account. I understand that I may be subject to penalties.
- I am requesting that the excess contribution be carried over to a later year, for which I will reduce my IRA or Coverdell ESA contribution by the amount of the excess contribution. The excess contribution may be subject to a 6% penalty tax for the year it was made and subsequent year in which it is not corrected by under-contributing. The earnings on the excess will remain in the account. **If you choose this option, keep this form for your records.** There will be no changes to your account. This option not available for SIMPLE IRAs.

