



Name Change Form

Regular Mail: Nicholas Funds
c/o U.S. Bank Global Fund Services
PO Box 219301
Kansas City, MO 64121-9301

Overnight Delivery: Nicholas Funds
c/o U.S. Bank Global Fund Services
801 Pennsylvania Ave Suite 219301
Kansas City, MO 64105-1307

1 Current Account Information

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FORMER NAME (AS IT APPEARS ON YOUR ACCOUNT REGISTRATION)

SOCIAL SECURITY NUMBER

--

PERMANENT STREET ADDRESS

--	--

CITY / STATE / ZIP CODE

PHONE NUMBER

--

MAILING ADDRESS (IF DIFFERENT FROM ABOVE)

--

CITY / STATE / ZIP CODE

Please indicate the account(s) this name change will affect:

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FUND NAME

FUND NUMBER

ACCOUNT NUMBER

--	--	--

FUND NAME

FUND NUMBER

ACCOUNT NUMBER

--	--	--

FUND NAME

FUND NUMBER

ACCOUNT NUMBER

Note: Please attach a separate piece of paper listing any additional account numbers this change will affect.

2 Updated Account Information

Please provide updated information exactly as you would like it to appear on your account(s). This includes your new name and, if applicable, your new address. If your mailing address is a PO Box, a permanent street address is also required by the USA PATRIOT Act.

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NEW NAME

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PERMANENT STREET ADDRESS

--	--

CITY / STATE / ZIP CODE

PHONE NUMBER

--

MAILING ADDRESS (IF DIFFERENT FROM ABOVE)

--

CITY / STATE / ZIP CODE

Please select one:

- ☐ I have attached a certified copy of the legal documentation proving my name change (ex. marriage certificate or divorce decree)
- ☐ I am unable to provide a certified copy of the legal documentation proving my name change. I have obtained either a signature guarantee, signature validation or notary stamp in the Signature Guarantee section of the form

3 Signature & Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number, and
2. I am not subject to backup withholding as a result of either being exempt from backup withholding, not being notified by the Internal Revenue service (IRS) of a failure to report all interest or dividends, or the IRS has notified me that I am no longer subject to backup withholding*, and
3. I am a U.S. person (including a U.S. resident alien), and
4. The FATCA code entered on this form (if any) indicating that the payee is exempt from FATCA reporting is correct.

***Note:** Cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Please sign below with your new and former name.

<div>X</div> <div>SIGNATURE IN FORMER NAME</div>	<div></div> <div>DATE (MM/DD/YYYY)</div>
<div>X</div> <div>SIGNATURE IN NEW NAME</div>	<div></div> <div>DATE (MM/DD/YYYY)</div>

4 Signature Guarantee (if required)

A signature guarantee will be required if you are unable to provide the legal documentation proving your name change. Your signatures must be guaranteed by an officer of a bank, savings association, credit union, a member firm of a domestic stock exchange, or the Financial Industry Regulatory Authority, that is an eligible guarantor institution. A notary public from a financial institution is able to provide an acceptable guarantee. The notary public's business card or a signed letter from the notary public on the financial institution's letterhead must accompany the form.

<div></div> <div>AUTHORIZED SIGNATURE GUARANTEE STAMP</div>	<div></div> <div>DATE</div>
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NICHOLAS FUNDS PRIVACY POLICY

NICHOLAS FUNDS RESPECTS EACH SHAREHOLDERS RIGHT TO PRIVACY. WE ARE COMMITTED TO SAFEGUARDING THE INFORMATION THAT YOU PROVIDE US TO MAINTAIN AND EXECUTE TRANSACTIONS ON YOUR BEHALF.

WE COLLECT NON-PUBLIC PERSONAL INFORMATION ABOUT YOU THAT WE RECEIVE FROM YOU ON APPLICATIONS, CONTRACTS OR OTHER FORMS, WHETHER WE RECEIVE THE FORM IN WRITING OR ELECTRONICALLY, AND IN PROCESSING YOUR TRANSACTIONS WITH US. THIS ALSO INCLUDES TRANSACTION REQUESTS MADE THROUGH OUR TRANSFER AGENT.

WE DO NOT SELL ANY NON-PUBLIC PERSONAL INFORMATION ABOUT CURRENT OR FORMER SHAREHOLDERS.

IN ORDER TO BETTER SERVICE YOUR ACCOUNTS, WE MAY SHARE YOUR NON-PUBLIC PERSONAL INFORMATION BETWEEN THE NICHOLAS FUNDS. AN EXAMPLE OF WHEN THIS INFORMATION MAY BE SHARED BETWEEN THE NICHOLAS FUNDS WOULD BE TO COMBINE MAILINGS TO ONE SHAREHOLDER WITH ACCOUNTS IN MORE THAN ONE FUND.

WE MAY SHARE, ONLY AS PERMITTED BY LAW, NON-PUBLIC PERSONAL INFORMATION ABOUT YOU WITH THIRD PARTY COMPANIES. LISTED BELOW ARE SOME EXAMPLES OF THIRD PARTIES TO WHOM WE MAY DISCLOSE NON-PUBLIC PERSONAL INFORMATION. WHILE THESE EXAMPLES DO NOT COVER EVERY CIRCUMSTANCE PERMITTED BY LAW, WE HOPE THEY HELP YOU UNDERSTAND HOW YOUR INFORMATION MAY BE SHARED. WE MAY SHARE NON-PUBLIC PERSONAL INFORMATION ABOUT YOU: WITH COMPANIES WHO WORK FOR US TO SERVICE YOUR ACCOUNTS OR TO PROCESS TRANSACTIONS THAT YOU MAY REQUEST SUCH AS OUR TRANSFER AGENT OR YOUR BROKER-DEALER TO PROCESS YOUR TRANSACTIONS, MAILING HOUSES TO SEND YOU REQUIRED REPORTS AND CORRESPONDENCE REGARDING YOUR ACCOUNT AND OUR DIVIDEND DISBURSING AGENT TO PROCESS DIVIDEND CHECKS; WITH A PARTY REPRESENTING YOU, WITH YOUR CONSENT, SUCH AS YOUR BROKER OR LAWYER; AND WHEN REQUIRED BY LAW, SUCH AS IN RESPONSE TO A SUBPOENA OR OTHER LEGAL PROCESS.

NICHOLAS FUNDS MAINTAINS POLICIES AND PROCEDURES TO SAFEGUARD YOUR NON-PUBLIC PERSONAL INFORMATION. ACCESS IS RESTRICTED TO EMPLOYEES WHO WE DETERMINE NEED THE INFORMATION IN ORDER TO PERFORM THEIR JOB DUTIES. TO GUARD YOUR NON-PUBLIC PERSONAL INFORMATION WE MAINTAIN PHYSICAL, ELECTRONIC AND PROCEDURAL SAFEGUARDS THAT COMPLY WITH FEDERAL STANDARDS.

WE COLLECT PERSONAL INFORMATION ON OUR WEBSITE ONLY WHEN YOU VOLUNTARILY PROVIDE IT TO US.

IF YOU OWN SHARES OF THE NICHOLAS FUNDS THROUGH A FINANCIAL INTERMEDIARY, INCLUDING, BUT NOT LIMITED TO, YOUR BROKER-DEALER, BANK OR TRUST COMPANY, YOU SHOULD CONSULT THE FINANCIAL INTERMEDIARIES PRIVACY POLICY TO LEARN ABOUT THEIR POLICIES ON SELLING AND SHARING YOUR NON-PUBLIC PERSONAL INFORMATION WITH NON-AFFILIATED THIRD PARTIES.