



Change of Registration Form

(Use this form for non-retirement accounts only)

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

For additional information please call toll-free 800-544-6547 or visit us on the web at www.nicholasfunds.com.

» This form should be used to change the registration of an existing account. A New Account Application must accompany the form unless noted.

1 Current Account Registration

<input type="text"/>		<input type="text"/>
NAME OF TAXABLE OWNER / MINOR / TRUST		SOCIAL SECURITY NUMBER / TAX ID
<input type="text"/>		<input type="text"/>
NAME OF JOINT OWNER / CUSTODIAN / TRUSTEE		SOCIAL SECURITY NUMBER / TAX ID
<input type="text"/>		<input type="text"/>
NAME OF JOINT OWNER / TRUSTEE		SOCIAL SECURITY NUMBER / TAX ID
<input type="text"/>	<input type="text"/>	
FUND NAME	ACCOUNT NUMBER	
<input type="text"/>	<input type="text"/>	
FUND NAME	ACCOUNT NUMBER	
<input type="text"/>	<input type="text"/>	
FUND NAME	ACCOUNT NUMBER	
<input type="text"/>		<input type="text"/>
PERMANENT STREET ADDRESS		DAYTIME TELEPHONE NUMBER
<input type="text"/>	<input type="text"/>	<input type="text"/>
CITY	STATE	ZIP CODE

☐ If this box is checked, I/we give U.S. Bank Global Fund Services authorization to update the address of record to the address listed above if it is different than our records. All accounts associated with the Social Security number(s) or Tax ID number(s) provided with the new address will be updated. A signature of all owners must be included in the Signature and Certification section in order for this change to be valid.

2 Reason for Registration Change (please select one)

- ☐ **Individual or Joint Account To Trust or Entity Account** (complete the Individual or Joint Account to Trust or Entity Account section and Signature and Certification section)
- ☐ **Remove or add an account owner or trustee** (complete the Remove or Add an Account Owner or Trustee section and Signature and Certification section)
- ☐ **Relinquish UTMA account to taxable owner who has reached age of termination** (complete the Relinquish UTMA to Taxable Owner section and Signature and Certification section)
- ☐ **Change custodian on UTMA account as permitted under state law** (complete the Change Custodian on UTMA section Signature and Certification section)
- ☐ **Gift shares to an individual or entity** (complete the Gift Shares to an Individual or Entity section and Signature and Certification section)

3 Individual or Joint Account to Trust or Entity Account

For Trust accounts, a complete copy of your trust agreement or a notarized Certificate of Trust is required.

For Entity accounts, Entity documentation and a list of authorized signers are required.

NAME OF TRUST / ENTITY

SOCIAL SECURITY NUMBER / TAX ID

TRUSTEE / AUTHORIZED SIGNER

TRUSTEE / AUTHORIZED SIGNER

Please attach a separate sheet if there are more than two trustees or authorized signers.

Signature Requirements:

- All current account owners must sign in the Signature and Certification section.
- If a current account owner is not listed as a grantor of the trust, they must obtain a signature guarantee in the Signature and Certification section.
- If reregistering to an Entity, all account owners must obtain a signature guarantee in the Signatures section.

4 Remove or Add an Account Owner or Trustee

For Trust accounts, a complete copy of your trust agreement or a notarized Certificate of Trust is required.

ACCOUNT OWNER / TRUSTEE TO REMOVE

ACCOUNT OWNER / TRUSTEE TO REMOVE

ACCOUNT OWNER / TRUSTEE TO ADD

ACCOUNT OWNER / TRUSTEE TO ADD

Signature Requirements:

- All current account owners must sign in the Signature and Certification section.
- Any account owner or trustee to be removed must obtain a signature guarantee in the Signature and Certification section.

5 Relinquish UTMA or UGMA to Taxable Owner (taxable owner has reached age of termination)

Please note that the age of termination for UTMA and UGMA accounts differs by state.

NAME OF TAXABLE OWNER (FORMER MINOR)

DATE OF BIRTH (MM/DD/YYYY)

PHONE NUMBER

PERMANENT STREET ADDRESS

CITY / STATE / ZIP CODE

A New Account Application completed and signed by the former minor is required to relinquish the account to the former minor.

Signature Requirements:

- Former minor has reached the age of termination: The former minor must sign in the Signature and Certification section. No signature guarantee or notary stamp is required.

6 Change of Custodian on UTMA or UGMA (removing current custodian; adding new/successor custodian)

An application is not required. Please complete the information below for the new custodian.

Note: In compliance with the USA PATRIOT Act, all mutual funds are required to obtain the information requested below for all registered account owners and all authorized individuals. This information is used to verify your true identity. We will return the form if any of this information is missing, and we may request additional information for verification purposes.

NAME OF NEW CUSTODIAN		
SOCIAL SECURITY NUMBER / TAX ID	DATE OF BIRTH (MM/DD/YYYY)	
PERMANENT STREET ADDRESS (P.O. BOX IS NOT ACCEPTABLE)		DAYTIME TELEPHONE NUMBER
CITY	STATE	ZIP CODE
MAILING ADDRESS (IF APPLICABLE)		ALTERNATE TELEPHONE NUMBER
CITY	STATE	ZIP CODE

Signature Requirements:

- The signature of the current custodian in the Signature and Certification section, death certificate, or an official court document must be provided.
- The new custodian must sign below, or they may submit a separate signed letter of acceptance.
- The signature of a witness to the executing and dating of this request must be provided below. The witness cannot be the current or new custodian.

By signing below, I accept the appointment to act as the custodian on the account(s) referenced in the Current Account Registration section. I also confirm that the information listed above is correct.

X	
SIGNATURE OF NEW CUSTODIAN	DATE (MM/DD/YYYY)

By signing below, I confirm that I witnessed the executing and dating of this request.

X	
SIGNATURE OF WITNESS	DATE (MM/DD/YYYY)

7 Gift of Shares to an Individual or Entity

The date of the gift is deemed the date we receive all documentation required to process the transfer unless otherwise noted.

Note to recipient(s) of gift: If shares are gifted at a loss and you have chosen Average Cost as your cost basis method, the Fair Market Value of the shares as of the date of the gift will be applied.

Amount of Gift:

☐ Dollar amount to be gifted \$ _____

☐ Number of shares to be gifted _____

Deposit to:

☐ An Existing Account Number _____

☐ A New Account (an application must accompany the form)

NAME OF GIFT RECIPIENT

SOCIAL SECURITY NUMBER / TAX ID

DATE OF BIRTH (MM/DD/YYYY)

Amount of Gift:

☐ Dollar amount to be gifted \$ _____

☐ Number of shares to be gifted _____

Deposit to:

☐ An Existing Account Number _____

☐ A New Account (an application must accompany the form)

NAME OF GIFT RECIPIENT

SOCIAL SECURITY NUMBER / TAX ID

DATE OF BIRTH (MM/DD/YYYY)

Please attach a separate sheet if gifting to more than two recipients.

Signature Requirements:

- All current account owners must sign in the Signature and Certification section and obtain a signature guarantee.

8 Signature & Certification

Please review the applicable Signature Requirements prior to completing this section.

I have received and understand the prospectus for my mutual fund. I understand the Fund's investment objectives and policies and agree to be bound by the terms of the prospectus. I agree to notify the Fund of any errors or discrepancies within 45 days after the date of the statement confirming a transaction. The statement will be deemed to be correct and the Fund and its transfer agent shall not be liable if I fail to notify the Fund within such time period. I certify that I am of legal age and have legal capacity to initiate requests on the selected accounts.

I understand that my mutual fund account may be transferred to my state of residence if no activity occurs within my account during the inactivity period specified in my state's abandoned property laws.

I, the undersigned, authorize and request that U.S. Bank Global Fund Services, take the requested action on the account(s) listed in section 1. I certify that all information provided on this form is accurate and agree to indemnify, release, and hold U.S. Bank Global Fund Services harmless for any actions taken as a result of the information I have provided (including that the age of termination for UTMA has been attained, if the Relinquish UTMA to Taxable Owner section is completed above).

The undersigned acknowledges that it is his/her responsibility to properly calculate, report, and pay all taxes due with respect to the request herein specified. I have been advised to consult my tax advisor regarding any questions about this request.

Under penalty of perjury, I certify that:

- (1) the Social Security or taxpayer identification 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 IRS of a failure to report all interest and 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) I am exempt from FATCA reporting.
- (Cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding due to a failure to report all interest and dividends).

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

<div style="border: 1px solid black; padding: 2px;">X</div> <div style="font-size: small;">SIGNATURE</div> <div style="font-size: x-small;"><input type="checkbox"/> Account Owner <input type="checkbox"/> Trustee <input type="checkbox"/> Custodian <input type="checkbox"/> Other _____</div>	<div style="border: 1px solid black; height: 20px;"></div> <div style="font-size: x-small;">DATE (MM/DD/YYYY)</div>
<div style="border: 1px solid black; padding: 2px;">X</div> <div style="font-size: small;">SIGNATURE</div> <div style="font-size: x-small;"><input type="checkbox"/> Account Owner <input type="checkbox"/> Trustee <input type="checkbox"/> Custodian <input type="checkbox"/> Other _____</div>	<div style="border: 1px solid black; height: 20px;"></div> <div style="font-size: x-small;">DATE (MM/DD/YYYY)</div>
<div style="border: 1px solid black; padding: 2px;">X</div> <div style="font-size: small;">SIGNATURE</div> <div style="font-size: x-small;"><input type="checkbox"/> Account Owner <input type="checkbox"/> Trustee <input type="checkbox"/> Custodian <input type="checkbox"/> Other _____</div>	<div style="border: 1px solid black; height: 20px;"></div> <div style="font-size: x-small;">DATE (MM/DD/YYYY)</div>

SIGNATURE GUARANTEE / NOTARY STAMP

DATE (MM/DD/YYYY)

A signature guarantee or a signature validation may be obtained from 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 also able to provide an acceptable guarantee only if indicated within the Signature Requirements for the section(s) you have completed. The notary public's business card or a signed letter from the notary public on the financial institution's letterhead must accompany the form.

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.