



# Coverdell Education Savings Account Transfer Form

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

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

! Please use this form to transfer assets from an existing Education Savings Account to a Nicholas Funds Education Savings Account. If you are opening a new Education Savings Account for this transfer, please complete an Education Savings Account Application. Once completed, mail this application to the address above.

**PLEASE PRINT ALL ITEMS EXCEPT SIGNATURE(S) AND BE SURE TO SIGN IN THE SIGNATURE SECTION OF THIS FORM.**

## 1 Name, Address and Consent of Person Who Controls the Current Account

PARENT/GUARDIAN FIRST NAME	M.I.	LAST NAME	SOCIAL SECURITY NUMBER
DATE OF BIRTH	MAILING ADDRESS		CITY / STATE / ZIP
EMAIL ADDRESS	DAYTIME PHONE NUMBER		EVENING PHONE NUMBER

☐ Mother ☐ Father ☐ Guardian\*

\*If "guardian", submit proof of guardianship.

## 2 Name of Student (For whom the education savings account is benefiting)

FIRST NAME OF STUDENT	M.I.	LAST NAME	SOCIAL SECURITY NUMBER
DATE OF BIRTH	MAILING ADDRESS		CITY / STATE / ZIP
EMAIL ADDRESS	DAYTIME PHONE NUMBER		EVENING PHONE NUMBER

## 3 Instruction to Current Education Savings Account Custodian or Trustee

CURRENT ACCOUNT NUMBER	NAME OF CUSTODIAN/TRUSTEE
MAILING ADDRESS	CITY / STATE / ZIP

Please transfer assets from the above account to U.S. Bank, NA. Transfer should be in cash according to the following instructions:

- ☐ Transfer the total amount in this Account.  
☐ Transfer \$ \_\_\_\_\_ or \_\_\_\_\_ shares and retain the balance.

Make check payable to: Nicholas Funds FBO

BENEFITING STUDENT'S NAME

## 4 Fund Selection

Please indicate the amount to be invested in each fund

Check one box and complete the necessary information:

- ☐ Invest the transferred amount in accordance with the investment instructions currently in effect for the Student's Nicholas Funds Education Savings Account.

If such an Account is already open, please provide the account number:

- ☐ Invest the transferred amount to my Education Savings Account as follows:

AMOUNT TO BE INVESTED

<input type="checkbox"/> Nicholas Fund, Inc. \$500 minimum	148	<input type="text"/>
<input type="checkbox"/> Nicholas II, Inc. Class N \$500 minimum	2149	<input type="text"/>
<input type="checkbox"/> Nicholas II, Inc. Class I \$100,000 minimum	149	<input type="text"/>
<input type="checkbox"/> Nicholas Ltd. Edition, Inc. Class N \$500 minimum	2150	<input type="text"/>
<input type="checkbox"/> Nicholas Ltd. Edition, Inc. Class I \$100,000 minimum	150	<input type="text"/>
<input type="checkbox"/> Nicholas Equity Income Fund, Inc. \$500 minimum	147	<input type="text"/>
<input type="checkbox"/> Fidelity Investments Money Market Gov't Portfolio \$2,000 minimum	5140	<input type="text"/>

Total All Funds

The undersigned acknowledges having sole responsibility for the foregoing investment choices and having received a current prospectus for each Fund selected. Please read the prospectus(es) for the Nicholas Funds selected, including the privacy notice. The undersigned understands that the requirements for a valid transfer between Education Savings Accounts are complex and acknowledges having responsibility for complying with all requirements and for the tax results of any such transfer.

## 5 Signature of Student, Parent or Guardian

X

SIGNATURE OF STUDENT / PARENT / GUARDIAN (PLEASE CIRCLE ONE)

DATE (MM/DD/YYYY)

**SPECIAL NOTE:** If Student is a minor under the law of Student's state of residence, the parent or guardian must execute this Education Savings Account Transfer of Assets Form.

**SIGNATURE GUARANTEE** (only if required by current custodian or trustee) A signature guarantee may be obtained from a bank, a member of a national securities exchange, savings and loan associations, credit union, broker, or other acceptable financial institutions. Please note that a Notary Public stamp or seal is unacceptable.

SIGNATURE GUARANTEED BY:

NAME OF BANK OR DEALER FIRM

SIGNATURE OF OFFICER AND TITLE

## 6 Acceptance by New Custodian

To be completed by U.S. Bank, NA.

U.S. Bank, NA. agrees to accept transfer of the above amount for deposit to the Student's U.S. Bank, NA. Coverdell Education Savings Custodial Account, and requests the liquidation and transfer of assets as indicated above.

Appointment as Custodian accepted:

U.S. BANK, NA

A handwritten signature in black ink, reading "Gregory J. Jolley". The signature is written in a cursive, flowing style.

**For additional information please call toll-free 800-544-6547 or visit us on the web at [www.nicholasfunds.com](http://www.nicholasfunds.com).**

## 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.