



# Letter of Instruction 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

## 1 Account Information

NAME OF TAXABLE OWNER / TRUST / ENTITY

SSN OR TIN OF TAXABLE PARTY

PHONE NUMBER

NAME OF JOINT OWNER / CUSTODIAN / GUARDIAN / TRUSTEE / AUTHORIZED SIGNER

NAME OF JOINT OWNER / CUSTODIAN / GUARDIAN / TRUSTEE / AUTHORIZED SIGNER

**Please indicate account(s) that require change:**

FUND NAME

FUND NUMBER

ACCOUNT NUMBER

FUND NAME

FUND NUMBER

ACCOUNT NUMBER

FUND NAME

FUND NUMBER

ACCOUNT NUMBER

## 2 Detailed Instructions

**I/We, the undersigned, request the following:**

## 2 Detailed Instructions | continued

I/We, the undersigned, request the following:

## 3 Signature & Certification

PRINTED NAME OF OWNER / CUSTODIAN / GUARDIAN / TRUSTEE / AUTHORIZED SIGNER

<b>X</b>		
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SIGNATURE OF OWNER / CUSTODIAN / GUARDIAN / TRUSTEE / AUTHORIZED SIGNER

CAPACITY

DATE (MM/DD/YYYY)

PRINTED NAME OF JOINT OWNER / TRUSTEE / AUTHORIZED SIGNER

<b>X</b>		
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SIGNATURE OF JOINT OWNER / TRUSTEE / AUTHORIZED SIGNER

CAPACITY

DATE (MM/DD/YYYY)

## 4 Signature Guarantee (If Required)

**A signature guarantee may be required depending on your request.**

**Your signature must be guaranteed if you are requesting any of the following:**

- A distribution greater than the signature guarantee threshold per the Fund's prospectus.
- A distribution to an address other than the address of record.
- A distribution to any address of record changed within the last 30 days per the Fund's prospectus.
- A distribution made payable to a third party.
- A distribution to an account registered other than, or in addition to, the IRA holder (i.e. RMD being distributed to a Joint Tenant account)

**\*Note:** If required, the signatures must be guaranteed or validated by a bank, member firm of a national securities exchange, savings and loan association, credit union or other entity authorized by state law to guarantee signatures. A notary public from a financial institution is able to provide an acceptable guarantee, provided there is not a financial request involved. The notary public's business card or a signed letter from the notary public on the financial institution's letterhead must accompany the form.



SIGNATURE GUARANTEE/SIGNATURE VALIDATION/NOTARY STAMP\*

DATE (MM/DD/YYYY)

Note to Financial Institution: Please verify that the surety limit of your signature guarantee is equal to or greater than the value of this transaction request.

\*If someone other than the registered account owner is signing this request, we will require the capacity of the signer to process the transaction. Please provide one of the following as the signer's capacity: Administrator, Conservator, Guardian, Executor, Personal Representative, Appropriate Person by Small Estate Affidavit, Power of Attorney.

## 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.