

# 13D Activist Fund

## NEW ACCOUNT APPLICATION

*Do not use this form for IRA accounts.*

Please print clearly in CAPITAL LETTERS

After you have completed and signed this application,  
Please mail to:

The minimum initial investment in Class A and Class C shares is \$2,500, and the minimum subsequent investment is \$500. Class I shares require a minimum initial investment of \$1,000,000 and there is no minimum subsequent investment requirement amount.

**13D ACTIVIST FUND**  
c/o GEMINI FUND SERVICES, LLC  
PO BOX 541150  
OMAHA, NE 68154

Distributed by ALPS Distributors, Inc.  
[www.13DActivistFund.com](http://www.13DActivistFund.com)

If you have any questions or need any help filling out the application, please call **(877) 413-3228**.

### 1. ACCOUNT OWNERSHIP

Please provide complete information for EITHER A, B, C or D:

#### A. INDIVIDUAL OR JOINT *(Please check one):*

Individual     Joint Account\*    \*Tenants with Rights of Survivorship will be assumed, unless otherwise specified.

Name \_\_\_\_\_ Social Security Number \_\_\_\_\_ Birth Date \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

Joint Owner \_\_\_\_\_ Social Security Number \_\_\_\_\_ Birth Date \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

Email \_\_\_\_\_

Citizenship     U.S. or Resident Alien     Other *(please specify)* \_\_\_\_\_

#### B. UNIFORM GIFTS TO MINORS ACCOUNT (UGMA) OR UNIFORM TRANSFERS TO MINORS ACCOUNT (UTMA)

Custodian's Name \_\_\_\_\_ Custodian's Social Security Number \_\_\_\_\_ Custodian's Date of Birth \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

Minor's Name \_\_\_\_\_ Minor's Social Security Number \_\_\_\_\_ Minor's Date of Birth \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

Minor's State of Residence \_\_\_\_\_ Email \_\_\_\_\_

#### C. TRUST *(Include a copy of the title page, authorized individual page and signature page of the Trust Agreement. Failure to provide this documentation may result in a delay in processing your application.)*

Trust or Plan Name \_\_\_\_\_ Email \_\_\_\_\_

Trust Date (mo/day/yr) \_\_\_\_\_ Employer or Trust Taxpayer Identification Number \_\_\_\_\_

Trustee's (Authorized Signer's) Name (First, Middle Initial, Last) \_\_\_\_\_

Trustee's Date of Birth (mo/day/yr) \_\_\_\_\_ Trustee's Social Security Number \_\_\_\_\_

Co-Trustee's (Authorized Signer's) Name (First, Middle Initial, Last) \_\_\_\_\_

Co-Trustee's Date of Birth (mo/day/yr) \_\_\_\_\_ Co-Trustee's Social Security Number \_\_\_\_\_

**D. CORPORATIONS OR OTHER ENTITIES** (Include a copy of one of the following documents: registered articles of incorporation, government-issued business license, partnership papers, plan documents or other official documentation that verifies the entity and lists the authorized individuals. Failure to provide this documentation may result in a delay in processing your application.)

- C Corporation   
  S Corporation   
  Corporation   
  Partnership   
  Government Entity  
 Other (please specify) \_\_\_\_\_

**If no classification is provided, per IRS regulations, your account will default to an S Corporation.**

Name of Corporation or Other Business Entity		Tax ID Number	Email	
Authorized Individual	Social Security Number	Co Authorized Individual	Social Security Number	

**2. MAILING AND CONTACT INFORMATION**

**LEGAL ADDRESS** (Must be a street address)

Street Address	Daytime Telephone
City, State, Zip	Evening Telephone

Please send mail to the address below. Please provide your primary legal address above, in addition to any mailing address (if different).

Street Address	City, State, Zip
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**3. INITIAL INVESTMENT** (Minimum initial investment in Class A & Class C shares is \$2,500. Class I shares minimum is \$1,000,000)

**Share Class**

**13D Activist Fund**                      \$ \_\_\_\_\_     Class A     Class C     Class I

Make check payable to **13D Activist Fund**

If investing by wire: Call **1-877-413-3228** and indicate the amount of the wire \$ \_\_\_\_\_

**Third Party checks are not accepted.**

**4. REDUCED SALES CHARGE** Complete this section if you qualify for a reduced sales charge. See Prospectus for Terms & Conditions.

**Letter of Intent**

You can reduce the sales charge you pay on Class A shares by investing a certain amount over a 13-month period. Please indicate the total amount you intend to invest over the next 13-months.

- \$50,000     \$100,000     \$250,000  
 \$500,000     \$1,000,000

**Rights of Accumulation**

If you already own Class A shares of the 13D Activist Fund, you may already be eligible for a reduced sales charge on Class A share purchases. Please provide the account number(s) below to qualify (if eligible).

Account No. \_\_\_\_\_  
 Account No. \_\_\_\_\_

Net Asset Value (NAV). I have read the prospectus and qualify for a complete waiver of the sales charge on Class A shares. Registered representatives may complete the Dealer Information section as proof of eligibility.

Reason for Waiver: \_\_\_\_\_

**5. DIVIDEND AND CAPITAL GAIN DISTRIBUTIONS**

All dividends and capital gains will be reinvested in shares of the Fund that pay them unless this box is checked.

Please pay all dividends and capital gains in cash.

6. AUTOMATIC INVESTMENT PLAN (AIP)

AIP allows you to add regularly to the Fund by authorizing us to deduct money directly from your checking account every month. Your bank must be a member of the Automated Clearing House (ACH). If you choose this option, please complete **Section 8 and attach a voided check.**

Please transfer \$\_\_\_\_\_ (**\$100 minimum**) from my bank account:

Monthly     Quarterly    on the \_\_\_\_\_ day of the month    Beginning: \_\_\_\_/\_\_\_\_/\_\_\_\_

**Important Note:** If the AIP date falls on a holiday or weekend the deduction from your checking or savings account will occur on the next business day.

7. AUTOMATIC WITHDRAWAL PLAN (AWP)

**The Fund account must be valued at \$10,000 or more to establish Automatic Withdrawal Plan.**

As specified below, please withdraw from **13D Activist Fund**:

\$\_\_\_\_\_ exact dollars per period (**\$100 minimum**)

Send checks:     Monthly     Quarterly    Beginning: \_\_\_\_/\_\_\_\_/\_\_\_\_

Send checks to:     Address of record     Bank of record (**See Section 8**)     Following payee

\_\_\_\_\_  
Name

\_\_\_\_\_  
Daytime Telephone

\_\_\_\_\_  
City, State, Zip

\_\_\_\_\_  
Evening Telephone

8. BANK INFORMATION

I authorize the Fund to purchase shares through the Automatic Investment Plan by the Automated Clearing House of which my bank is a member.

Type of Account:     Checking     Savings

\_\_\_\_\_  
Name of Depository Institution

\_\_\_\_\_  
Account Number

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
ABA Number

\_\_\_\_\_  
City, State, Zip

\_\_\_\_\_  
City, State, Zip

**Please attach a voided check from your account.**

9. COST BASIS METHOD

Note: The default cost basis calculation method for your new account will be Average Cost. If you wish to elect a different cost basis method, please contact the Fund to obtain a Cost Basis Election Form.

10. DEALER/REGISTERED INVESTMENT ADVISOR INFORMATION

If opening your account through a Broker/Dealer or Registered Investment Advisor, please have them complete this section.

\_\_\_\_\_  
Dealer Name

\_\_\_\_\_  
Representative's Last Name,                      First Name

**DEALER HEAD OFFICE**

**REPRESENTATIVE'S BRANCH OFFICE**

\_\_\_\_\_  
Address

\_\_\_\_\_  
Address



If Fund shares are being purchased on behalf of an Investment Company (as that term is defined under the Investment Company Act of 1940), I hereby certify that said Investment Company will limit its ownership to 3% or less of the Funds outstanding shares.

**The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.**

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Signature of owner (or custodian)

Date

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Signature of joint owner (or corporate officer, partner or other)

Date

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Trustee (if applicable)

Date

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**TO CONTACT US:**

**By Telephone**

Toll-free **1-877-413-3228**

**In Writing**

**13D Activist Fund**  
c/o Gemini Fund Services, LLC  
PO Box 541150  
Omaha, NE 68154  
Or  
Via Overnight Delivery  
17605 Wright Street, Suite 2  
Omaha, NE 68130

**Internet**

[www.13DActivistFund.com](http://www.13DActivistFund.com)

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