



# NON-QUALIFIED TRANSFER OF ASSETS FORM

Please complete this form only if you are transferring assets directly to a new or existing non-qualified account with the Sierra Mutual Funds (the "Fund"). Please complete a separate form for each account you wish to transfer. Transfers may take 3 to 5 weeks to complete after your paperwork is received in good order.

## For Additional Copies or Assistance

If you need additional copies of this form, or would like assistance completing it, please call **(866) 738-4363**.

## Instructions

1. If you are establishing a new account, please contact **(866) 738-4363** or go to [www.sierramutualfunds.com](http://www.sierramutualfunds.com) about additional information that must be submitted with this Form.
2. Mail this Transfer Form to:  
**Sierra Mutual Funds**  
**c/o Gemini Fund Services, LLC**  
**P.O. Box 541150**  
**Omaha, Nebraska 68154**  
Overnight Delivery:  
**Sierra Mutual Funds**  
**c/o Gemini Fund Services, LLC**  
**17605 Wright Street, Suite 2**  
**Omaha, Nebraska 68130**
3. Retain a copy for your records.

## Sierra Mutual Funds Privacy Policy Statement

Your privacy is important to us. The Sierra Mutual Funds are committed to maintaining the confidentiality, integrity and security of your personal information. When you provide personal information, the Fund believes that you should be aware of policies to protect the confidentiality of that information.

The Fund collects the following nonpublic personal information about you:

- Information we receive from you on or in applications or other forms, correspondence, or conversations, including, but not limited to, your name, address, phone number, social security number, assets, income and date of birth; and
- Information about your transactions with us, our affiliates, or others, including, but not limited to, your account number and balance, payments history, parties to transactions, cost basis information, and other financial information.

The Fund does not disclose any nonpublic personal information about our current or former shareholders to nonaffiliated third parties, except as permitted by law. For example, the Fund is permitted by law to disclose all of the information we collect, as described above, to our transfer agent to process your transactions. Furthermore, the Fund restricts access to your nonpublic personal information to those persons who require such information to provide products or services to you. The Fund maintains physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.

In the event that you hold shares of the Fund through a financial intermediary, including, but not limited to, a broker-dealer, bank, or trust company, the privacy policy of your financial intermediary would govern how your nonpublic personal information would be shared with nonaffiliated third parties.

## Anti-Money Laundering

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.

What this means for you: When you open an account, we will ask for your name, address, date of birth, social security number/ Tax ID number and other information that will allow us to identify you. We may also ask to see other identifying documents. Until you provide the information or documents we need, we may not be able to open an account or effect any additional transactions for you.

When opening an account for a foreign business, enterprise or a non-U.S. person that does not have an identification number, we require alternative government-issued documentation certifying the existence of the person, business or enterprise.

For questions about these policies, or for additional copies of the Sierra Mutual Funds Privacy Policy Statement, please contact the Fund at **(866) 738-4363**, [www.sierramutualfunds.com](http://www.sierramutualfunds.com), or contact the Sierra Mutual Funds at PO Box 541150, Omaha, NE 68130.

## 1. ACCOUNT REGISTRATION

Please provide your primary legal address, in addition to any mailing address (if different).

\_\_\_\_\_  
Owner's Name (First, Middle, Last)

\_\_\_\_\_  
Social Security Number

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

\_\_\_\_\_  
Date of Birth

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

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

\_\_\_\_\_  
Email Address

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

- This is a new account. I have completed and enclosed an Application with this transfer form.
- This is an existing account. Please apply transfer proceeds to my account number: \_\_\_\_\_

## 2. INFORMATION ABOUT YOUR EXISTING ACCOUNT

\_\_\_\_\_  
Name of Firm Currently Holding Your Account

\_\_\_\_\_  
Account Name

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

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

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

\_\_\_\_\_  
Firm Telephone Number

**Please attach a copy of the most recent statement for this account.**

## 3. TRANSFER INFORMATION

Please transfer assets from the above account to Sierra Mutual Funds. Transfers should be in cash or in kind according to the following instructions:

**This transfer is a: (check one)**

- Complete Transfer. Please liquidate all assets in my account.
- Partial Transfer. Liquidate \$ \_\_\_\_\_ from my account.
- Transfer in kind:  
Please transfer \_\_\_\_\_ shares of \_\_\_\_\_  
(Fund Name)

**The type of account I am transferring from is a: (check one)**

- Individual  
 Joint Tenant  
 Transfer on Death  
 Trust  
 Other

**The type of account I am transferring to is a: (check one)**

- Individual  
 Joint Tenant  
 Transfer on Death  
 Trust  
 Other

#### 4. CERTIFICATIONS AND SIGNATURES

I hereby authorize this liquidation and/or transfer in kind from my current financial institution to the account designated on this form. By signing below, I certify the information set forth herein is accurate and I have received and read a prospectus for the funds in which I am making my investment. To the extent that I have requested a redemption of mutual fund shares in connection with my transfer, I understand that such shares will be redeemed at the net asset value next determined after my transfer request is reviewed and determined to be in good order by the delivering firm. **The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.**

**Medallion Signature Guarantee\* (if required):**

Some Firms require a Medallion Signature Guarantee to transfer assets. Please check with your current firm to see if they require a Medallion Signature Guarantee. Failure to obtain a required signature guarantee may result in a delay in the transfer of assets.

\_\_\_\_\_  
Account Owner's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Joint Owner's Signature (if applicable)

\_\_\_\_\_  
Date

\*A Medallion Signature Guarantee can be obtained from a bank, broker-dealer, a credit union, a national securities exchange, savings association or other financial intermediaries that are members of an Approved Medallion Guarantee Program. A signature by a Notary Public is not acceptable as a signature guarantee.

#### 5. TRANSFER INSTRUCTIONS

**Make check payable to:**

Sierra Mutual Funds

FBO: \_\_\_\_\_

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

**Mail this Transfer Form to:**

**Sierra Mutual Funds**  
c/o Gemini Fund Services, LLC  
P.O. Box 541150  
Omaha, NE 68154  
Or  
Via Overnight Delivery  
17605 Wright Street, Suite 2  
Omaha, NE 68130

**Internet**  
[www.sierramutualfunds.com](http://www.sierramutualfunds.com)

# PRIVACY NOTICE

## NORTHERN LIGHTS FUND TRUST

Rev. February 2014

### FACTS

#### WHAT DOES NORTHERN LIGHTS FUND TRUST DO WITH YOUR PERSONAL INFORMATION?

#### Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some, but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

#### What?

The types of personal information we collect and share depends on the product or service that you have with us. This information can include:

- Social Security number and wire transfer instructions
- account transactions and transaction history
- investment experience and purchase history

When you are *no longer* our customer, we continue to share your information as described in this notice.

#### How?

All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Northern Lights Fund Trust chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information:	Does Northern Lights Fund Trust share information?	Can you limit this sharing?
<b>For our everyday business purposes</b> - such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus.	<b>YES</b>	<b>NO</b>
<b>For our marketing purposes</b> - to offer our products and services to you.	<b>NO</b>	<b>We don't share</b>
<b>For joint marketing with other financial companies.</b>	<b>NO</b>	<b>We don't share</b>
<b>For our affiliates' everyday business purposes</b> - information about your transactions and records.	<b>NO</b>	<b>We don't share</b>
<b>For our affiliates' everyday business purposes</b> - information about your credit worthiness.	<b>NO</b>	<b>We don't share</b>
<b>For nonaffiliates to market to you</b>	<b>NO</b>	<b>We don't share</b>

**QUESTIONS?** Call 1-402-493-4603

# PRIVACY NOTICE

## NORTHERN LIGHTS FUND TRUST

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### What we do:

<b>How does Northern Lights Fund Trust protect my personal information?</b>	<p>To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.</p> <p>Our service providers are held accountable for adhering to strict policies and procedures to prevent any misuse of your nonpublic personal information.</p>
<b>How does Northern Lights Fund Trust collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"><li>• open an account or deposit money</li><li>• direct us to buy securities or direct us to sell your securities</li><li>• seek advice about your investments</li></ul> <p>We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p>
<b>Why can't I limit all sharing?</b>	<p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none"><li>• sharing for affiliates' everyday business purposes – information about your creditworthiness.</li><li>• affiliates from using your information to market to you.</li><li>• sharing for nonaffiliates to market to you.</li></ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>

### Definitions

<b>Affiliates</b>	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"><li>• <i>Northern Lights Fund Trust does not share with our affiliates.</i></li></ul>
<b>Nonaffiliates</b>	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"><li>• <i>Northern Lights Fund Trust does not share with nonaffiliates so they can market to you.</i></li></ul>
<b>Joint marketing</b>	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"><li>• <i>Northern Lights Fund Trust doesn't jointly market.</i></li></ul>