



## New Account Application — Rice Hall James Funds

For Assistance Call: 1-866-474-5669

**PLEASE DO NOT USE THIS APPLICATION TO OPEN AN IRA ACCOUNT.**

### The USA Patriot Act

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 to you: When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. This information is subject to verification. If we are unable to verify your identity, we reserve the right to close your account or take such other steps as we deem reasonable.

Sections 1 and 2 must be completed and the information provided will be verified as required by the USA Patriot Act. Failure to complete these sections may result in the rejection of your application.

### Notice for Non-U.S. persons

The Funds generally will not accept investments from foreign investors (e.g. foreign financial institutions; non-U.S. persons). The Funds has instructed their transfer agent accordingly. If the Funds do accept such investments, the Funds are expected to conduct enhanced due diligence on such foreign investors as may be required under Section 312 of the USA PATRIOT Act and applicable Treasury or SEC rules, regulations and guidance (if any).

### Notice to all shareholders

In compliance with applicable state laws, your property may be transferred to the appropriate state if no activity occurs in your account within the time period specified by state law.

# 1 SHAREHOLDER REGISTRATION

**Please print or type clearly.**

**Please choose one type of account below:**

Individual or  Joint

YOUR NAME: FIRST, MIDDLE, LAST

SOCIAL SECURITY NUMBER

DATE OF BIRTH

JOINT OWNER'S NAME: FIRST, MIDDLE, LAST

JOINT OWNER'S SOCIAL SECURITY NUMBER

JOINT OWNER'S DATE OF BIRTH

OCCUPATION

EMPLOYER

TRANSFER ON DEATH BENEFICIARY (OPTIONAL)

SOCIAL SECURITY NUMBER

DATE OF BIRTH

Custodial/Gift to Minors

CUSTODIAN'S NAME: FIRST, MIDDLE, LAST

CUSTODIAN'S SOCIAL SECURITY NUMBER

CUSTODIAN'S DATE OF BIRTH

MINOR'S NAME: FIRST, MIDDLE, LAST

MINOR'S SOCIAL SECURITY NUMBER

MINOR'S STATE OF RESIDENCE

MINOR'S DATE OF BIRTH

Trust\*

TRUSTEE'S NAME

TRUSTEE'S SOCIAL SECURITY NUMBER

TRUSTEE'S DATE OF BIRTH

NAME OF TRUST AGREEMENT

TRUST'S TAXPAYER IDENTIFICATION NUMBER

DATE OF TRUST AGREEMENT

\* Attach a separate list for additional Trustees and authorized traders including full name, social security number, date of birth and physical address. Please also include the first and last page of trust document.

Corporation\*

NAME OF CORPORATION

PROVIDE SYMBOL IF A PUBLICLY TRADED CORPORATION

TYPE OF CORPORATION (please check one):  S Corporation  C Corporation

TAXPAYER IDENTIFICATION NUMBER

\* For all Corporations:

Please enclose the Articles of Incorporation and a corporate resolution (or government-issued business license) which identifies the individuals authorized to conduct transactions on this account.

**For Non-Public Corporations:**

Your list of authorized traders must include their full name, social security number, date of birth, and physical address.

Partnership\*

PARTNER: FIRST, MIDDLE, LAST NAME

NAME OF PARTNERSHIP

DATE OF BIRTH

SOCIAL SECURITY NUMBER

\* Attach a separate list for authorized traders, and each individual partner of a partnership, including full name, social security number, date of birth, and a physical address (P.O. Box is not acceptable). A copy of partnership agreement must be attached.

**Documents provided in connection with your Application will be used solely to establish and verify your identity. The Funds will have no obligation with respect to the terms of any such documents.**

## 2 SHAREHOLDER ADDRESS

- U.S. Citizen
- Resident Alien (must have U.S. tax identification number and domestic address).
- Non-Resident Alien Country of Citizenship \_\_\_\_\_  
(Non-Resident Aliens must provide a copy of an unexpired government issued photo ID with their application.)

**Mailing Address:**

STREET OR P.O. BOX

IF MAILING ADDRESS IS A POST OFFICE BOX (OTHER THAN AN ARMY POST OFFICE BOX OR A FLEET POST OFFICE BOX), THEN A PHYSICAL ADDRESS IS ALSO REQUIRED BY THE USA PATRIOT ACT.

CITY, STATE, ZIP

( ) ( )  
DAYTIME TELEPHONE EVENING TELEPHONE

E-MAIL ADDRESS

**Physical Mailing Address (if different from above):**

MUST PROVIDE PHYSICAL ADDRESS FOR INDIVIDUAL TRUSTEE AND AUTHORIZED TRADER; PROVIDE FOR JOINT REGISTRANT OR MINOR ONLY IF DIFFERENT THAN ABOVE.

STREET ADDRESS

CITY, STATE, ZIP

**Duplicate Confirmations/Statements Sent To (Optional):**

NAME

STREET OR P.O. BOX

CITY, STATE, ZIP

**Receiving Investor Documents**

The Rice Hall James Funds are taking advantage of the "Householding" Rule, which permits the delivery of one copy of an annual/semi-annual report, prospectus and/or proxy statement on behalf of two or more shareholders at a shared address. Unless you indicate otherwise by checking the box below, your signature on this application indicates your consent to Householding and the Funds will deliver one copy of the above referenced documents to your address for as long as you remain invested in the Rice Hall James Funds. You may revoke your consent at any time by calling the Funds at 1-866-474-5669. Upon receiving such notification, the Funds will begin mailing individual copies of the above referenced documents to your attention within 30 days.

- I do **not** wish to participate in Householding.

## 3 FUND SELECTION/ INVESTMENT OPTIONS

- Enclose your check (minimum initial investment in any Fund is \$2,500).
- **Make your check payable to: Rice Hall James Funds**
- The Funds do not accept cash, travelers checks, cashier's checks, bank drafts, money orders, starter, counter, or third party checks.

**Rice Hall James Micro Cap Portfolio**  
Institutional Class Shares (Fund Code: 1179) \$

Please call 1-866-474-5669 prior to sending a wire.

**Wiring Instructions:**

UMB Bank, N.A.  
ABA#: 101000695  
DDA# 9871063178

**Reference:**

The Rice Hall James Funds  
Account Name and Number with the Fund and Fund Name

## 4 DIVIDEND & CAPITAL GAINS INSTRUCTIONS

**All distributions will be reinvested automatically unless one of the following is checked:**

**Dividends:**

- Send all dividends by direct deposit to the bank account indicated on the enclosed voided check.
- Send all dividends by check to the address in section 2.
- Reinvest all dividends.

**Capital Gains:**

- Send all capital gains by direct deposit to the bank account indicated on the enclosed voided check.
- Send all capital gains by check to the address in section 2.
- Reinvest all capital gains.

## 5 COST BASIS CALCULATION METHOD

Please elect the cost basis method to be used in calculating the gain or loss associated with redemption requests. The elected method will be used for all accounts established by this application and any future accounts established. Please choose from the following: **(Choose only one)**

- Average Cost
- First-In First-Out
- Specific Lot

**Note:** When selecting Specific Lot, please choose a secondary method to be used as an alternate in the event specific lot information is not provided.

- First-In First-Out
- Last-In First-Out
- High Cost
- Low Cost
- Loss/Gain Utilization

**If no election is made First-In First-Out will be used.**

## 6 TELEPHONE AUTHORIZATION

I (we) hereby authorize and direct the agent to accept and act upon telephone instructions for redemptions involving the account with corresponding registration unless the following is checked:

- I (we) do not authorize telephone redemptions.
- I (we) do not authorize telephone exchanges.

## 7 SYSTEMATIC INVESTMENT PLAN (SIP)

I (we) hereby authorize and direct the agent to draw on my (our) bank account on a periodic basis, as indicated in section 9, for investment in my (our) account. Attached is a voided check of the bank account I (we) wish to use. (Initial investments may not be made through the Systematic Investment Plan.) Please note this service will be effective 15 days after the Rice Hall James Funds receives this application. **If no date is chosen below, your bank account will be debited on the 15th of the month.**

**Preferred Investment Schedule:**

- Monthly
  - Quarterly
  - Semi-Annually
  - Annually
- 1st or  15th
- BEGIN INVESTMENT ON (ENTER MONTH/YEAR) DAY OF MONTH

**Debit My (Our) Bank Account and Invest as Follows (\$100 Minimum):**

- Rice Hall James Micro Cap Portfolio**  
Institutional Class Shares (Fund Code: 1179) \$

## 8 SYSTEMATIC WITHDRAWAL PLAN (SWP)

**A minimum account balance of \$10,000 is required.**

Please choose the date you would like to begin withdrawals and whether you prefer the 1st or 15th day of the month. If no date is chosen, you will be credited on the 15th of the month.

1st or  15th

BEGIN WITHDRAWAL ON (ENTER MONTH/YEAR) DAY OF MONTH

**Preferred Payment Method:**

- By Check
- Direct Deposit to your Bank (ACH) (Complete Section 9)

**I (We) Elect to Receive a Monthly Payment of (\$100 Minimum):**

- Rice Hall James Micro Cap Portfolio**  
Institutional Class Shares (Fund Code: 1179) \$

## 9 BANK INFORMATION

**For SIP/SWP and Wire Redemptions:**

Your bank account information must be on file in order to exercise telephone investment privileges. The account holder's name(s) corresponding to the account number below must match exactly at least one name in Section 1.

**A blank voided check must be enclosed.**

NAME OF BANK

REGISTRATION ON ACCOUNT

ABA ROUTING NUMBER

Checking  Savings

ACCOUNT NUMBER ACCOUNT TYPE

# 10 APPLICANT'S SIGNATURE

- (a) I have read the current prospectus and this application and agree to all terms. In addition, I authorize the instructions in this application. I also agree that any shares purchased now or later are and will be subject to the terms of the prospectus as in effect from time to time.
- (b) By execution of this application, the investor represents and warrants that (i) he has the full right, power, and authority to make the investment applied for and (ii) he is a natural person of legal age in his state of residence. The person or persons, if any, signing on behalf of the investor represent and warrant that they are duly authorized to sign this application and purchase or redeem shares of the fund on behalf of the investor. Each person named in the registration must sign below.
- (c) (For direct investors investing without an adviser or representative): I acknowledge that: (i) I am a direct investor in the Fund(s); (ii) I have made all decisions to transact in shares of the Fund(s) independently and did not receive or rely on an investment recommendation or investment advice from the Fund(s) or the Fund's principal underwriter when transacting in shares of the Fund(s), and (iii) I am not a customer of the Fund's principal underwriter.
- (d) If I am a U.S. citizen, resident alien, or a representative of a U.S. entity, I certify, under penalty of perjury, that:
  - i. The social security number or employer identification number shown on this form is my correct Taxpayer Identification Number,
  - ii. I am not subject to backup withholding because:
    - a. I am exempt from backup withholding OR
    - b. I have not been notified that I am subject to backup withholding as a result of a failure to report all interest or dividend OR,
    - c. The Internal Revenue Service has notified me that I am no longer subject to backup withholding. (Strike out this item (b) if you have been notified that you are subject to backup withholding).
  - iii. I am a U.S. person, resident alien, or a representative of a U.S. Entity.
- (e) If I am a nonresident alien, I understand that I am required to complete the appropriate Form W-8 to certify my foreign status. I understand that, if I am a nonresident alien, I am not under penalty or perjury for certifying to the above information.
- (f) **By my signature below, I certify, on my own behalf or on behalf of the investor I am authorized to represent, that:**
  - i. **the investor is not involved in any money laundering or terrorist financing schemes, and the source of this investment is not derived from any unlawful activity or terrorist financing; and**
  - ii. **the information provided by the investor in this application is true and correct, and any documents provided herewith are genuine.**

\_\_\_\_\_  
SIGNATURE: INDIVIDUAL, CUSTODIAN, TRUSTEE, PARTNER, OR AUTHORIZED OFFICER, EXACTLY AS IT APPEARS IN SECTION 1

\_\_\_\_\_  
DATE

\_\_\_\_\_  
SIGNATURE: JOINT OWNER, EXACTLY AS IT APPEARS IN SECTION 1

\_\_\_\_\_  
DATE

**Return the following to the address below:**

1. This completed application.
2. Voided bank check or deposit slip if applicable.
3. One check made payable to: *Rice Hall James Funds*

**Regular Mail Address:**

Rice Hall James Funds  
c/o SS&C Global Investor & Distribution  
Solutions, Inc.  
P.O. Box 219009  
Kansas City, MO 64121-9009

**Express Mail Address:**

Rice Hall James Funds  
c/o SS&C Global Investor & Distribution  
Solutions, Inc.  
430 West 7th Street  
Kansas City, MO 64105

# 11 DEALER/SERVICE ORGANIZATION USE ONLY

\_\_\_\_\_  
FIRM NAME

\_\_\_\_\_  
FIRM NUMBER

\_\_\_\_\_  
REP NAME

\_\_\_\_\_  
REP NUMBER

\_\_\_\_\_  
BRANCH ADDRESS

\_\_\_\_\_  
BRANCH PHONE NUMBER

\_\_\_\_\_  
BRANCH NUMBER

\_\_\_\_\_  
AUTHORIZED SIGNATURE OF DEALER

## Certification Regarding Beneficial Owners of Legal Entity Customers

**TO BE COMPLETED ALONG WITH THE APPLICATION FOR THE FOLLOWING ENTITIES TYPES:** a corporation, limited liability company, or other entity that is created by a filing of a public document with a Secretary of State or similar office, a general partnership, and any similar business entity formed in the United States or a foreign country.

### I. GENERAL INSTRUCTIONS

#### What is this form?

To help the government fight financial crime, Federal regulation requires certain financial institutions to obtain, verify, and record information about the beneficial owners of legal entity customers. Legal entities can be abused to disguise involvement in terrorist financing, money laundering, tax evasion, corruption, fraud, and other financial crimes. Requiring the disclosure of key individuals who own or control a legal entity (i.e., the beneficial owners) helps law enforcement investigate and prosecute these crimes.

#### Who has to complete this form?

This form must be completed by the person opening a new account on behalf of a legal entity with any of the following U.S. financial institutions: (i) a bank or credit union; (ii) a broker or dealer in securities; (iii) a mutual fund; (iv) a futures commission merchant; or (v) an introducing broker in commodities.

For the purposes of this form, a legal entity includes a corporation, limited liability company, or other entity that is created by a filing of a public document with a Secretary of State or similar office, a general partnership, and any similar business entity formed in the United States or a foreign country. Legal entity does not include sole proprietorships, unincorporated associations, or natural persons opening accounts on their own behalf.

### II. CERTIFICATION OF BENEFICIAL OWNER(S)

#### Persons opening an account on behalf of a legal entity must provide the following information:

a. Name and Title of Natural Person Opening Account:

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b. Name and Address of Legal Entity for Which the Account is Being Opened:

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c. The following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 25 percent or more of the equity interests of the legal entity listed above:

| Name | Date of Birth | Address (Residential Street Address) | For U.S. Persons: Social Security Number | For Foreign Persons: Passport Number and Country of Issuance, or other similar |
|------|---------------|--------------------------------------|--|--|
|      |               |                                      |  |  |

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*(If no individual meets this definition, please write "Not Applicable.")*

\* In lieu of a passport number, foreign persons may also provide an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

d. The following information for one individual with significant responsibility for managing the legal entity listed above, such as:

- An executive officer or senior manager (e.g., Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, Treasurer); or
- Any other individual who regularly performs similar functions. (If appropriate, an individual listed under section (c) above may also be listed in this section (d)).

| Name | Date of Birth | Address (Residential Street Address) | For U.S. Persons: Social Security Number | For Foreign Persons: Passport Number and Country of Issuance, or other similar |
|------|---------------|--------------------------------------|--|--|
|      |               |                                      |  |  |

\* In lieu of a passport number, foreign persons may also provide an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

I, \_\_\_\_\_ (*name of natural person opening account*), hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_