

**Mail To:**

One Rock Fund  
c/o Mutual Shareholder Services  
8000 Town Centre Drive, Suite 400  
Broadview Heights, OH 44147



# ONE ROCK Fund

## Standard Account Application

(Non-Retirement)

**Minimum Investment:**

Initial: \$2,000.00  
Subsequent: \$100.00

**Need Help Call:**

(800) 564-3899

**Fax To:**

440-526-4446

**1. Account Application (Please Print)**

Owner (Individual, Corporation, Trustee or Custodian)

Owner's Daytime Phone Number

Address

Joint Owner (if applicable)

City State Zip

Joint Owner's Social Security or Tax ID Number

Social Security or Tax ID Date of Birth

Joint Owner's Date of Birth

**2. How Would You Like to Send Money to ONE ROCK Fund?**

Payment by check (payable to: ONE ROCK Fund)

Initial Investment Amount \$ \_\_\_\_\_

Payment by wire (call 800-564-3899 for instructions)

**3. Dividend, Capital Gains, & Telephone Options**

All income dividends and capital gains distributions will be reinvested in additional shares as stated in the Prospectus unless the box below is checked. You elect to have telephone redemption privileges unless you check the box below:

Please pay all income dividends and capital gains distributions in cash

I do not want telephone redemption privileges

**4. Taxpayer Information**

If you do not have a Social Security number or a Taxpayer ID number, you must complete a Form W-8 which is available by calling the above phone number:

Citizenship:  U.S. Citizen  Resident Alien  Non-Resident Alien

The Internal Revenue Service (IRS) requires each taxpayer to provide a Social Security or Taxpayer Identification Number and to make the following certifications. I certify under penalty of perjury that:

The Social Security or Tax ID number stated above is correct.

I am not subject to backup withholding because;\*

A - The IRS has not informed me that I am subject to backup withholding

B - The IRS has notified me that I am no longer subject to backup withholding

\*If this statement is not true you are subject to backup withholding, cross out line 2

**5. Signature and Agreement**

I/We, the undersigned, have received, printed or downloaded a copy of the current Prospectus of the One Rock Fund and are purchasing shares in accordance with its provisions. I/We further certify that the undersigned is of legal age and has full legal capacity to make this purchase. The purchase price shall be the net asset value next determined following receipt of the application by the Fund, if the application is accepted. This application cannot be processed unless accompanied by payment. *The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.*

I/We understand that the Fund is not backed or guaranteed by a bank or insured by the FDIC. I/We authorize the Fund and its agents to act upon instructions (by phone, in writing or other means) believed to be genuine and in accordance with procedures described in the Prospectus. I/We agree that neither the Fund, nor the Transfer Agent will be liable for any loss, cost or expense of acting on such instructions. Such entities will employ reasonable procedures to confirm that instructions communicated by phone are genuine and will not be liable for acting upon instructions believed to be genuine.

Signature of Owner

Date

Signature of Joint Owner

Date

# One Rock Fund

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### 6. Automatic Investment Plan

YES, I/we want to institute the Automatic Investment Plan.

Permits you to initiate automatic transfers to your One Rock Fund from your bank, savings and loan, or credit union using the ACH system. **You must attach a voided check to this application.** Money will be transferred only from the account indicated on the check. Financial institution account number: \_\_\_\_\_, phone number: \_\_\_\_\_.

AMOUNT \$ \_\_\_\_\_ (MINIMUM \$100)

FREQUENCY:

MONTHLY       QUARTERLY

ACH transfers will be processed on the 20<sup>th</sup> of each month. If the 20<sup>th</sup> falls on a weekend or holiday it will be processed on the first business day there after.

It is understood that this authorization may be terminated by me/us at any time by written notification to One Rock Fund. The termination request will be effective as soon as One Rock Fund has had reasonable time to act upon it.

### 7. Duplicate Confirmations and Statements

Please send duplicate confirmations and statements to:

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_  
\_\_\_\_\_

CITY/STATE/ZIP \_\_\_\_\_

IF BROKER-DEALER/ADVISOR:

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

BRANCH/REP #: \_\_\_\_\_

PHONE: \_\_\_\_\_