

# Bogle Small Cap Growth Fund

## New Account Application

---

### IMPORTANT NOTICE – 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 for you: When you open an account, we will ask for your name, address, date of birth and other information that allows us to identify you. This information will be verified to ensure identity of all individuals opening a mutual fund account.

---

### IMPORTANT INFORMATION – PLEASE READ

---

- Please complete the investment selection and account information sections. Please use blue or black ink. For assistance call 1-877-264-5346 from 8 a.m. to 6 p.m. Eastern time, Monday through Friday.
- The New Account Application must be signed or it will be returned as required by Federal Law. Be sure to review and sign section 5. To invest via wire transfer:
  - 1) Call 1-877-264-5346 to obtain an account number and wire instructions.
  - 2) Send completed account application via overnight mail to the address listed below.
- Overnight mail to: Bogle Small Cap Growth Fund, 4400 Computer Drive, Westborough, MA 01581  
Regular Mail to: Bogle Small Cap Growth Fund, P.O. Box 9809, Providence, RI 02940

## 1. ACCOUNT REGISTRATION (check one box)

---

### INDIVIDUAL OR JOINT ACCOUNT

Owner's Name (First, Middle Initial, Last)\* \_\_\_\_\_ Social Security Number\* \_\_\_\_\_ Date of Birth\* \_\_\_\_\_  
I am a:  US Citizen  Resident Alien  Non-Resident Alien\*\* (specify Country) \_\_\_\_\_

Joint Owner's Name (First, Middle Initial, Last)\* \_\_\_\_\_ Social Security Number\* \_\_\_\_\_ Date of Birth\* \_\_\_\_\_

*Joint Accounts will be registered joint tenants with the right of survivorship, unless otherwise indicated*

I am a:  US Citizen  Resident Alien  Non-Resident Alien\*\* (specify Country) \_\_\_\_\_

### GIFT OR TRANSFER TO MINOR

Custodian's Name (One name only: First: Middle Initial, Last)\* \_\_\_\_\_ Social Security Number\* \_\_\_\_\_ Date of Birth\* \_\_\_\_\_

Minor's Name (One name only: First, Middle Initial, Last)\* \_\_\_\_\_ Social Security Number\* \_\_\_\_\_ Date of Birth\* \_\_\_\_\_

Under the \_\_\_\_\_ Uniform Gifts/Transfers to minors Acts  
(State of Minor's Residence)

### TRUST

*(a copy of the first and last page of the Trust Agreement to be attached)*

Trustee(s) Name (First, Middle Initial, Last)\* \_\_\_\_\_ Social Security Number\* \_\_\_\_\_ Date of Birth\* \_\_\_\_\_

As Trustee of \_\_\_\_\_ for the benefit of \_\_\_\_\_  
(Name of Trust) (Beneficiary's Name)

Taxpayer ID #\* \_\_\_\_\_ Date of Trust Agreement \_\_\_\_\_

**CORPORATION, PARTNERSHIP OR OTHER ENTITY**

*(Attach copy of certified Articles of Incorporation and/or business license for a corporation or the partnership agreement)*

\_\_\_\_\_  
Name of Corporation, Partnership or Other Entity\* Taxpayer ID Number\*

\_\_\_\_\_  
Authorized person or Fiduciary Name (First, Middle Initial, Last)\* Social Security Number\* Date of Birth\*

Check if this account is exempt from CIP verification due to:  Publicly traded corporation. Symbol: \_\_\_\_\_

Bank regulated by a State bank regulator  Financial Institution regulated by a federal functional regulator\*\*

*\* Items marked with an asterisk (\*) are required for your application to be accepted and will be verified as required by the USA Patriot Act.*

Is your company any of the following? (If yes, please provide business classification): a bank organized and located outside the United States; a foreign office, agent or branch of a U.S. covered financial institution\*, money transmitter, currency dealer or exchange; or a company that if located in the United States would be required to register as a mutual fund, securities broker-dealer or a futures commission merchant?

\_\_\_\_\_ No \_\_\_\_\_ Yes, please explain \_\_\_\_\_

*\*\* A US covered financial institution is generally any of the following: a bank; a credit union; a savings association; a corporation acting under Section 25A of the Federal Reserve Act; a trust bank or company; a securities broker-dealer; a futures commission merchant; and introducing broker; or a mutual fund.*

Indicate Federal Income Tax Classification (for Corporations, Partnerships, or Other Entities)  
(For Disregarded Entity: Please indicate below the income tax classification of the Owner)

\_\_\_\_\_ S - Corporation \_\_\_\_\_ C - Corporation \_\_\_\_\_ Partnership

**FINANCIAL INTERMEDIARY**  Yes  No  
(Omnibus Account)

If yes, you will also be required to enter into an Information Sharing Agreement with Bogle Investment Management, LP with respect to opening this account.

If no, you represent and warrant that if you become a financial intermediary\* with respect to this or other Bogle Investment Management, LP accounts at any time in the future, you will immediately notify Bogle Investment Management, LP, and will take steps to comply with the requirement to enter into an Information Sharing Agreement pursuant to SEC Rule 22c-2.

**2. ADDRESS**

Daytime Phone Number \_\_\_\_\_ E-Mail Address: \_\_\_\_\_

\* Mailing Address: \_\_\_\_\_

\* City: \_\_\_\_\_ \* State: \_\_\_\_\_ \* Zip: \_\_\_\_\_

\* Street Address: \_\_\_\_\_  
*(If mailing address is a Post Office Box a street address is required by the USA Patriot Act)*

\* City: \_\_\_\_\_ \* State: \_\_\_\_\_ \* Zip: \_\_\_\_\_

*\* Items marked with an asterisk (\*) are required for your application to be accepted and will be verified as required by the USA Patriot Act.*

### 3. FUND SELECTION OPTION

---

Make the check payable to Bogle Investment Management Small Cap Growth Fund. Shareholders may not purchase shares of the Bogle Investment Management SMALL CAP GROWTH FUND with a check issued by a third party and endorsed over to the Fund. Checks for investment must be made payable to Bogle Investment Management Small Cap Growth Fund.

#### INITIAL INVESTMENT AMOUNT

- Bogle Small Cap Growth Fund – Investor Class Fund# 300 (\$10,000 Min) \_\_\_\_\_  
*Initial Investment Amount*
- Bogle Small Cap Growth Fund – Institutional Class Fund# 301 (\$1,000,000 Min) \_\_\_\_\_  
*Initial Investment Amount*

### 4. PERSONS AUTHORIZED TO CONDUCT TRANSACTIONS

---

The following persons (“Authorized Persons”) are currently officers, trustees, general partners or other authorized agents of the Shareholder. Any \_\_\_\_\_\* of the Authorized Persons is, by lawful and appropriate action of the Shareholder, a person entitled to give instructions regarding purchases and redemptions or to make inquiries regarding the Account.

*\* If this space is left blank, any one Authorized person is authorized to give instructions and make inquiries. Oral instructions will be accepted from any one Authorized Person. Written instructions will require signature of the number of Authorized persons indicated in this space:*

---

Name	Title	Signature
------	-------	-----------

---

Social Security Number	Street Address	Date of Birth
------------------------	----------------	---------------

---

Name	Title	Signature
------	-------	-----------

---

Social Security Number	Street Address	Date of Birth
------------------------	----------------	---------------

---

Name	Title	Signature
------	-------	-----------

---

Social Security Number	Street Address	Date of Birth
------------------------	----------------	---------------

---

Name	Title	Signature
------	-------	-----------

---

Social Security Number	Street Address	Date of Birth
------------------------	----------------	---------------

*Attach separate list for additional Authorized Persons including full name, title, signature, social security number and date of birth.*

The signature appearing to the right of each Authorized Person is that person’s signature that Bogle Fund may without inquiry, act upon the instructions (whether oral, written, or provided by wire, telecommunication, or any other process) of any person claiming to be an Authorized Person. Neither the Fund, nor any entity on behalf of which the Bogle Fund is acting, shall be liable for any claims or expenses (including legal fees) for any losses resulting from actions taken upon any instructions believed to be genuine. The Funds may continue to rely on the instructions made by a person claiming to be an Authorized Person until it is informed by amended Application that the person is no longer an Authorized Person and it has a reasonable period of time (not to exceed one week) to process the amended Application. Provisions of this application shall be equally applicable to any successor to the Bogle Fund.

## 5. CERTIFICATION

---

Your account may be transferred to the appropriate state if no activity occurs in your account within the time period specified by state law.

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 and that all of the information on this application is true and correct. The investor certifies that the taxpayer identification number and tax status set forth in this application is correct. 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.

I have read the applicable prospectus(es) and agree to all their terms. I also agree that any shares purchased now or later are and will be subject to the terms of the Funds' current as in effect from time to time.

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid back-up withholding.

**Certification of Taxpayer ID Number**

If I am a U.S. citizen, resident alien, or a representative of a U.S. entity, I certify, under penalty of perjury, that:

- (1) The social security or employer identification number shown on this form is my correct Taxpayer Identification number,
- (2) I am not subject to backup withholding because:
  - \* I am exempt from backup withholding OR,
  - \* I have not been notified that I am subject to backup withholding as a result of a failure to report all interest or dividends OR,
  - \* The Internal Revenue Service has notified me that I am no longer subject to backup withholding.  
(strike out this item (2) if you have been notified that you are subject to backup withholding).
- (3) I am a U.S. person (including a U.S. resident alien.)

---

Name	Title	Signature
------	-------	-----------

---

Name	Title	Signature
------	-------	-----------

**FOR PARTNERSHIPS AND TRUSTS** *(even if you are the sole Trustee)*

The undersigned certify that they are all the general partner/trustees of the Shareholder and that they have done the following under the authority of the Shareholder's Partnership Agreement/Trust Instrument: (1) empowered the general partner/trustee executing this application (or amendment) to do so on behalf of the Shareholder; (2) empowered the above-named Authorized Person(s) to execute securities transactions for the Shareholder on the terms described above, and (3) authorized the Secretary to certify, from time to time, the names of the general partners/trustees of the Shareholder and to notify Bogle Fund when changes in general partners/trustees occur.

---

Name	Title	Signature
------	-------	-----------

---

Name	Title	Signature
------	-------	-----------

## 6. TELEPHONE PRIVILEGES

---

Unless indicated below, I authorize the Transfer Agent to accept instructions from any person to Exchange/Redeem shares in/from my account by telephone, in accordance with the procedures and conditions set forth in the current Prospectus. I understand that the exchange privilege is only available for exchanges within the same class of shares.

I DO NOT want Telephone Redemption Privileges

I DO NOT want Telephone Exchange Privileges

Redemption by telephone will be sent by check via U.S. Mail to the address of record, or sent to the bank of record, if section 8 is completed with bank instructions.

Neither the Fund nor the Transfer Agent will be liable for properly acting upon telephone instructions believed to be genuine.

Should the Fund or its Transfer Agent fail to utilize reasonable procedures, it may be liable for any losses due to unauthorized or fraudulent instructions.

## 7. DIVIDEND & CAPITAL GAIN DISTRIBUTIONS

---

	Reinvested	Cash	
Dividends	<input type="checkbox"/>	<input type="checkbox"/>	(ALL DISTRIBUTIONS WILL BE REINVESTED IF NO BOX IS MARKED)
Capital Gains	<input type="checkbox"/>	<input type="checkbox"/>	

If cash:  By check to the address on the application

By wire to the bank in section 8

## 8. BANK AND WIRE INSTRUCTIONS

---

Complete this information to receive cash payments by wire:

Bank Name: \_\_\_\_\_ ABA # \_\_\_\_\_

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

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

Name(s) on the Account: \_\_\_\_\_

Account # \_\_\_\_\_ Account Type (check one)  checking  savings

## 9. AUTOMATIC INVESTMENT PLAN (Attach a voided check)

---

- All contributions invested using the Automatic Investment Plan will be current year contributions.
- Automatic Investment Plan may only be used one the initial investment has been made
- We will establish your banking instructions using the voided check attached in the space provided below.

I would like to automatically invest from my bank account to my Bogle Small Cap Growth Fund Account on the following basis. If you do not indicate a frequency, then we will default to monthly.

Monthly

Quarterly

My contribution to the funds marked below will take place on the \_\_\_\_\_ (i.e. 15<sup>th</sup>) of the month beginning in the month of \_\_\_\_\_ (i.e. April). If you do not indicate a date of the month, then we will default to the 15<sup>th</sup> of the month.

Bogle Small Cap Growth Fund

Investor Class

\$ \_\_\_\_\_

Monthly (minimum \$100.00)

Quarterly (minimum \$300.00)

Institutional Class

\$ \_\_\_\_\_

Monthly (minimum \$1000.00)

Quarterly (minimum \$3000.00)

## BANKING INSTRUCTIONS FOR AUTOMATIC INVESTMENT PLAN

---

ATTACH VOIDED CHECK HERE

### 10. SYSTEMATIC WITHDRAWAL PLAN

---

- To select this option, please complete the information below (A minimum account value of \$10,000 in a single account is required to establish a Systematic Withdrawal Plan):

Withdrawal Amount \$ \_\_\_\_\_ Start up Month \_\_\_\_\_ Withdrawal Date\* \_\_\_\_\_

*\*If you do not indicate a date of the month, then we will default to the 15<sup>th</sup> of the month*

Frequency Options:       Monthly                       Quarterly                       Annually

### DEALER USE ONLY

---

- If you do not have a Dealer or Advisor assisting you with this transaction, please leave this section blank.

Firm Name: \_\_\_\_\_ Firm Number: \_\_\_\_\_

Representative's Name: \_\_\_\_\_ Telephone: \_\_\_\_\_ Rep. Number: \_\_\_\_\_

Branch Address: \_\_\_\_\_ Branch Number: \_\_\_\_\_