



NON-QUALIFIED ASSET TRANSFER

To transfer assets to a DDJ Funds account with individual or joint registration. If you're establishing a new account, please attach a completed DDJ Funds application form. Do not use this form to transfer Tax Qualified Retirement Plans.

SECTION 1: Account Information

Account Number Owner's Name (Last, First, Middle Initial)
Owner's Social Security Number Date of Birth (MM/DD/YY)
Address of Residence (Required) - P.O. Box not accepted City, State, Zip
Mailing Address - If different from above (P.O. Boxes accepted) City, State, Zip
Day Phone Evening Phone E-mail Address

SECTION 2: Current Custodian

To avoid delays, please confirm your current Custodian's address and if they require a Signature Guarantee. If required please complete Section 6. Attach a copy of the current account statement.

Type of Plan Being Transferred/Rolled Over
Current Trustee/Custodian/Employer/Plan Administrator Account Number
Address of Custodian (Required) - P.O. Box not accepted City, State, Zip
Mailing Address - If different from above (P.O. Boxes accepted) City, State, Zip
Day Phone Evening Phone

SECTION 3: Investment Selection

Note: The DDJ Funds will not accept shares in certificate form. If you are redeeming a mutual fund, please include a copy of your account statement.

Type of investment:
Mutual Fund Bank Account CD Other

Type of Account:
Individual Joint Other

Redemption Instructions:
Mutual Fund

Please redeem % shares.
Please redeem shares in kind (DDJ Funds shares only)
All full and fractional shares \$ worth of shares

Type of Account:
Individual Joint Other

Note: No Tax Qualified Retirement Accounts

Bank Account Please withdraw \$ CD: Date of Maturity
All full and fractional shares Other

SECTION 4: Your Financial Representative

Name of Firm _____ Branch Address City, State, Zip Code _____

Firm Branch Number _____ Representative's Name, Number and Telephone _____

City, State, Zip Code _____

*For assistance in completing this form, call the DDJ Funds at 1-844-363-4898.***SECTION 5: Transfer Instructions***Note: The DDJ Funds will not accept shares in certificate form. If you are redeeming a mutual fund, please include a copy of your account statement.*

Please make check payable to the DDJ Funds.

FBO (Account Owner's Name) _____ Social Security # _____

Investment Allocation

Fund Name	Fund Number	Ticker	Amount	or	Percent	%
DDJ Opportunistic High Yield Fund Institutional	21000	DDJIX	\$ _____		_____	%
DDJ Opportunistic High Yield Fund Class I	21001	DDJCX	\$ _____		_____	%
DDJ Opportunistic High Yield Fund Class II	21002	DDJRX	\$ _____		_____	%
Total			\$ _____		100	%

Please sign below exactly as your name(s) appear on the account you are redeeming/transferring from. All account owners must sign.

Signature _____ Date (MM/DD/YY) _____

Signature _____ Date (MM/DD/YY) _____

Daytime Telephone Number _____

SECTION 6: Signature Guarantee

A signature guarantee is required if redeeming within 30 days of changing bank information or address, in addition to sending wires, ACHs and checks to instructions other than that on record for this account.

To protect yourself against fraud, your signature(s) must be guaranteed ("Medallion Signature Guarantee") by any "eligible" guarantor. The Medallion Signature Guarantee stamp MUST include the words "Signature Guaranteed, Medallion Guaranteed" and comply with the Medallion program requirements. Signatures notarized by a Notary Public are not acceptable.

- Eligible guarantor's:
- Commercial Banks
 - Credit Unions
 - Member Firms of a domestic stock exchange
 - Savings Associations
 - Trust Companies

SECTION 6: Signature Guarantee (continued)

Bank or Dealer Firm

Officer's Title

Officer's Signature

Date (MM/DD/YY)

[STAMP]

Investor Instruction to DDJ Funds:

- Please open a new DDJ Funds account for me. I have attached the appropriate application documents to this form.
- Please deposit the proceeds to my existing account:

DDJ Funds Investment Type

DDJ Funds Account Number

Amount

Please mail completed form to:

Regular Mail:

DDJ Funds
P.O. Box 1920
Denver, CO 80201

Overnight Mail:

DDJ Funds
c/o ALPS Fund Services, Inc.
1290 Broadway, Suite 1100
Denver, CO 80203

or Fax to 866-205-1499

If you have any questions, please contact an Investor Service Representative at 1-844-363-4898.