



IRA TRANSFER/ROLLOVER FORM

IMPORTANT: If transferring to a new DDJ Funds account, please complete a new Account Application Form along with Transfer of Assets Form.

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: Transfer/Direct Rollover Instructions

I have established an individual retirement account (IRA) with BOKF, NA. Please transfer my assets and follow the instructions below.

I authorize and direct the transfer of the amount stated below to the DDJ Funds.

- Liquidate all assets in my IRA Account Number and transfer the entire proceeds.
- Liquidate only part of my assets in my IRA Account Number and transfer:

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	%

- Liquidate ONLY the assets listed below (**For CD's**): Account Number _____ Immediately At maturity on _____ date
- Direct Rollover.** Directly rollover my qualified plan distribution to my IRA. I would like a distribution from my qualified plan for the following reason:
 - Termination of Employment
 - Death
 - Plan Termination
 - Attainment of Retirement Age (Typically 59 ½)

SECTION 3: Transfer/Direct Rollover Instructions (continued)

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	%

"In Kind" Transfer. If the account listed in Section 2 contains shares of the DDJ Funds family of funds – you may choose to transfer them "In Kind." To transfer all other assets, they must be liquidated.

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	%

Make Checks Payable to: DDJ Funds Client Name _____
 FBO Traditional IRA, SEP IRA, or Roth IRA SSN _____

SECTION 4: Transfer/Rollover Investment Allocation

I authorize and direct the transfer of the amount indicated in Section 3 to the DDJ Funds per the below allocation.

You may not transfer from a Roth IRA to a Traditional IRA or a SEP IRA.

Open a new account – I have attached a completed IRA application Invest in my existing DDJ Funds IRA account _____

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	%

SECTION 5: Authorization/Signatures

Current Trustee/Custodian: I have established an Individual Retirement Account or 403(b)(7) Custodial Account with the DDJ Funds and have appointed BOKF, NA as the custodian. Please accept this as your authorization and instruction to liquidate and/or transfer "in kind" the assets noted above, which your company holds for me.

If I have begun taking my minimum required distributions from the account which is being transferred to the DDJ Funds, I understand and acknowledge that I am responsible for notifying the DDJ Funds of the existence and birth date of any spouse beneficiary which existed on my account as of my required beginning date, as that term is defined in Treasury Regulation 1.401(a)(9); as well as the method of calculation which I elected for determining life expectancy over which required distributions are to be made from the account. Should I fail to provide this information, I understand that future calculations of my minimum required distribution amounts may result in underpayments, which would subject me to a 50% excess accumulations penalty tax.

Owner's Signature _____

Date (MM/DD/YY) _____

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.

SECTION 6: Signature Guarantee (continued)

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

Bank or Dealer Firm _____ Officer's Title _____

Officer's Signature _____ Date (MM/DD/YY) _____

[STAMP]

SECTION 7: BOKF, NA

To be completed by the Custodian.

This is to inform you that BOKF, NA will accept the account referenced in Section 2.

This transfer of assets/direct rollover is to be executed from fiduciary to fiduciary and will not place the participant in actual receipt of all or any of the plan assets. No federal income tax is to be withheld from this transfer of assets or direct rollover.

Accepted by BOKF, NA as Custodian for the DDJ Funds.

BOKF, NA Authorized Representative _____ Date (MM/DD/YY) _____

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 1000
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.

For Broker/Dealer Use Only	
Broker/Dealer Name	Broker/Dealer Number
Representative Name	Representative Number
Street Address (Street, City, State, Zip Code)	
Representative Phone Number	