



DUNHAM FUNDS™

# DUNHAM NEW ACCOUNT APPLICATION

## Class N Shares

Fund. To establish a Class N share account, the minimum initial investment is \$100,000 complex-wide (among the Dunham Funds).

After you have completed and signed this application, Please mail to:

THE DUNHAM FUNDS  
C/O GEMINI FUND SERVICES ,LLC  
PO BOX 541150  
OMAHA, NE 68154-9150

If you have any questions or need any help filling out the application, please call 1-888-3DUNHAM (338-6426), Monday - Friday, 8:30 a.m. to 6:00 p.m. eastern time.

### 1. TYPE OF ACCOUNT (Please check one):

*For retirement accounts please provide corresponding IRA Application*

#### RETIREMENT ACCOUNTS

- Traditional IRA
- ROTH IRA
- SEP IRA
- SIMPLE IRA
- Beneficiary IRA
- Beneficiary ROTH IRA

#### PERSONAL ACCOUNTS

- Individual
- Joint Tenants WROS
- Joint Tenants in Common
- Joint Community Property
- Joint Tenants by Entirety
- Custodial (UGMA/UTMA)

#### TRUST/OTHER ACCOUNTS

- Corporation
- SEP IRA
- Other \_\_\_\_\_

### 2. ACCOUNT OWNER/TRUSTEE/CUSTODIAN INFORMATION

Name \_\_\_\_\_ Social Security # \_\_\_\_\_ Date of Birth \_\_\_\_\_

Citizenship  US or Resident Alien  Other (please specify) \_\_\_\_\_

Joint Owner \_\_\_\_\_ Social Security # \_\_\_\_\_ Date of Birth \_\_\_\_\_

Citizenship  US or Resident Alien  Other (please specify) \_\_\_\_\_

Mailing Address:

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

Home Phone \_\_\_\_\_ Cell Phone \_\_\_\_\_

Legal Address: (must be a street address)

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

### 3. CORPORATIONS, TRUSTS OR OTHER ENTITIES

Name \_\_\_\_\_ Tax ID Number # \_\_\_\_\_

Trustee (if trust) \_\_\_\_\_

Date of Trust Agreement or Date of Incorporation \_\_\_\_\_

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4. UNIFORM GIFTS/TRANSFERS TO MINORS ACCOUNT (UGMA)/(UTMA)

Custodian's Name \_\_\_\_\_ Minor's Name \_\_\_\_\_  
Minor's Social Security# \_\_\_\_\_ Minor's Date of Birth \_\_\_\_\_  
Citizenship  US or Resident Alien  Other (please specify) \_\_\_\_\_

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5. FUND SELECTION- CLASS N SHARES (Minimum initial investment is \$100,000.)

Please establish my account in The Dunham Funds with the enclosed check or wire transfer made payable to The Dunham Funds in the amount of \$\_\_\_\_\_, allocated either by percent of this total or by dollar amounts adding up to this total as indicated below:

BlackRock FedFund	_____ %	or	\$ _____
Dunham Corporate/Government Bond Fund	_____ %	or	\$ _____
Dunham High-Yield Bond Fund	_____ %	or	\$ _____
Dunham Monthly Distribution Fund	_____ %	or	\$ _____
Dunham Floating Rate Bond Fund	_____ %	or	\$ _____
Dunham Long/Short Credit Fund	_____ %	or	\$ _____
Dunham Dynamic Macro Fund	_____ %	or	\$ _____
Dunham Large Cap Value Fund	_____ %	or	\$ _____
Dunham Real Estate Stock Fund	_____ %	or	\$ _____
Dunham International Stock Fund	_____ %	or	\$ _____
Dunham Small Cap Value Fund	_____ %	or	\$ _____
Dunham International Opportunity Bond Fund	_____ %	or	\$ _____
Dunham Focused Large Cap Growth Fund	_____ %	or	\$ _____
Dunham Small Cap Growth Fund	_____ %	or	\$ _____
Dunham Emerging Markets Stock Fund	_____ %	or	\$ _____

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6. AUTOMATIC INVESTMENT PLAN (AIP)

AIP allows you to add regularly to The Dunham Funds by authorizing us to deduct money directly from your checking account every month. Your bank must be a member of the Automated Clearing House (ACH). If you choose this option, **please complete Section 8 and attach a voided check.**

Please transfer \$ \_\_\_\_\_ (\$100 minimum) from my bank account to invest into:

Fund Name \_\_\_\_\_ on the \_\_\_\_\_ (5<sup>th</sup>, 10<sup>th</sup>, 15<sup>th</sup>, or 20<sup>th</sup> day of each month)

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7. SYSTEMATIC WITHDRAWAL PLAN (SWP)

(NOTE: If Withdrawal is for an IRA, please complete IRA Distribution Form)

Please withdraw as specified below from:

Fund Name \_\_\_\_\_ Account Number \_\_\_\_\_

\$ \_\_\_\_\_ exact dollars per period (\$100 Minimum)

Payment Type:  Check to Address of Record  Bank of Record (see section 8)

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**8. BANK INFORMATION** *(please attached a voided check associated with your account)*

I authorize The Dunham Funds to send redemption proceeds when requested by the Automated Clearing House of which my bank is a member.

Name of Depository Institution \_\_\_\_\_

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

Type of Account:            Checking            Savings

Account Name \_\_\_\_\_

ABA Number \_\_\_\_\_ Account Number \_\_\_\_\_

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**9. TELEPHONE PRIVILEGES**

Telephone privileges, as described in the prospectus, automatically apply unless this box is checked

**No**, I do not want telephone

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**10. DIVIDEND AND CAPITAL GAIN DISTRIBUTIONS**

All dividends and capital gains will be reinvested in shares of the funds that pay them unless this box is checked.

Please pay all dividends and capital gains in cash

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**11. INFORMATION DELIVERY**

To obtain your Dunham Fund(s) account statements, confirms and regulatory mailings online instead of in paper form, please provide us with your e-mail address. After your account is opened, we will send you an e-mail with instructions on how to sign up for electronic information delivery.

E-Mail address: \_\_\_\_\_

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**12. DEALER INFORMATION**

If you are opening your account through a broker/dealer, please have them complete this section.

Dealer Name (as it appears on Selling Group Agreement) \_\_\_\_\_

Address of Home Office \_\_\_\_\_

Name of Authorized BD Representative \_\_\_\_\_

Address (of branch office serving this account) \_\_\_\_\_

Representative ID \_\_\_\_\_ Representative's Phone Number \_\_\_\_\_

Representative's E-mail address: \_\_\_\_\_

Authorized BD Signature \_\_\_\_\_

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### 13. SIGNATURE(S) & CERTIFICATION (REQUIRED)

We must have signatures to process your Application and to certify your Taxpayer Identification number. IRS regulations require your signature to avoid any backup withholding.

**W-9 Certification: Under penalty of perjury:**

- (a) I certify that the number shown on this form is my/our current Social Security number(s) or Taxpayer Identification number(s).
- (b) I am not subject to backup withholding either because I have not been notified that I am subject to backup withholding as a result of failure to report all interest or dividends, or the Internal Revenue Service has notified me that I am no longer subject to backup withholding.
- (c) I am a U.S. person (including a resident alien.) The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.

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 effective October 1, 2003.

What this means for you: When you open an account, we will ask for your name, address, date of birth, social security number/ Tax ID number and other information that will allow us to identify you. We may also ask to see other identifying documents. Until you provide the information or documents we need, we may not be able to open an account or effect any additional transactions for you.

When opening an account for a foreign business, enterprise or a non-U.S. person that does not have an identification number, we require alternative government-issued documentation certifying the existence of the person, business or enterprise.

The undersigned represents and warrants that:

- A. I have full authority and am of legal age to purchase shares of the Fund;
- B. I have received and read a current prospectus for the Dunham Funds and agree to be bound by the terms contained therein; and
- C. The information contained on this New Account Application is complete and accurate.

If Fund shares are being purchased on behalf of an Investment Company (as that term is defined under the Investment Company Act of 1940), I hereby certify that said Investment Company will limit its ownership to 3% or less of the Funds outstanding shares.

**MY SIGNATURE BELOW INDICATES THAT I HAVE READ THE FUND PROSPECTUS(ES) AND AGREE TO THE TERMS THEREIN AND HEREIN.**

Signature of owner (or custodian)	Date
Signature of joint owner (or corporate officer/partner or other)	Date
Trustee (if applicable)	Date

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**TO CONTACT US:**

**By Telephone**

Toll-free 1-888-3DUNHAM  
(1-888-338-6426)

**In Writing**

**Dunham Funds**  
c/o Gemini Fund Services, LLC  
PO Box 541150  
Omaha, NE 68154-9150  
Or  
Overnight Delivery:  
4221 North 203<sup>rd</sup> St. Suite 100  
Elkhorn, NE 68022

**Internet**

[www.dunham.com](http://www.dunham.com)



**DUNHAM FUNDS™**