



# Institutional Class Account Application

**YOUR ORIGINAL SIGNATURE(S) IS(ARE) REQUIRED IN SECTION 9**

- Accounts must have a valid physical U.S. address and each registered owner(s) must provide a valid social security number or tax identification number. Accounts with a foreign address may not be established.
- If you have any questions, please contact a Dealer Services Representative at 1-800-873-3639, Option 2.

## 1. SELECT TYPE OF ACCOUNT (CHECK ONLY ONE BOX)

### Accounts for one or more individuals – Please complete Section 2

- Individual account     Uniform transfer to minor (UTMA) Minor's state of residence is: \_\_\_\_\_  
 Joint tenants with rights of survivorship (not available in Louisiana)     Tenants in common     Tenants by entirety

### Accounts for an entity (trust, corporation, etc.) – Please complete Section 3

- Trust – A copy of the first and last pages of the trust agreement indicating trust name, trust date and the signature page of the trust document is required. A copy of the pages (including any amendments) appointing the trustee(s) and showing their capacity to act is also required.  
 Estate – A certified copy of the document, certified by the issuing authority within the last 60 days, appointing the executor or executrix is required.  
 "C" Corporation – A corporate resolution with a raised corporate seal (certified within the last 90 days) indicating the authorized individuals is required.  
 "S" Corporation – A corporate resolution with a raised corporate seal (certified within the last 90 days) indicating the authorized individuals is required.  
 Partnership – A copy of the partnership agreement is required.  
 Financial Institution – Agreement required. Contact a Dealer Service Representative at 1-800-873-3639, Option 2 for details.  
 Other – Include documents to verify the entity and authorized individuals.  
 Check here if you are a government entity.

## 2. ACCOUNT OWNER INFORMATION (INDIVIDUAL, UTMA OR JOINT ACCOUNT)

**Please provide the personal information for all account owners.** A valid, residential address is required for all account owners. A PO Box, private mailbox (PMB), or other mailing service cannot be accepted in lieu of a physical address.

Full name of primary account owner/minor's name for an UTMA account	Social security number	Birth date	
Physical address	City	State	ZIP code
	( )	( )	
Primary account owner's e-mail address	Primary phone number	Alternate phone number	
Full name of joint account owner/custodian's name for an UTMA account	Social security number	Birth date	
Physical Address	City	State	ZIP code
	( )	( )	
Joint account owner's/custodian's e-mail address	Primary phone number	Alternate phone number	
Account mailing address (if different from physical address of primary owner)	City	State	ZIP code

If more names are necessary, please attach an additional page.

### 3. ACCOUNT OWNER INFORMATION (ENTITY ACCOUNT)

Please provide the personal information for the entity and all authorized individuals (e.g., trustee, officer, executor). A valid, residential address is required for all account owners. A PO Box, private mailbox (PMB), or other mailing service cannot be accepted in lieu of a physical address.

Full name entity	Tax identification number	Establishment date (for trust accounts)	
Physical address	City	State	ZIP code
Full name of trustee, officer, executor or authorized signer	Social security number	Birth date	
Physical address for trustee, officer, executor or authorized signer	City ( )	State ( )	ZIP code
E-mail address	Primary phone number	Alternate phone number	
Full name of co-trustee, co-executor, or additional officer or authorized signer	Social security number	Birth date	
Physical address for co-trustee, officer, co-executor or additional authorized signer	City ( )	State ( )	ZIP code
E-mail address	Primary phone number	Alternate phone number	
Mailing address for account (if different from physical address of the entity)	City	State	ZIP code

If more names are necessary, please attach an additional page.

### 4. MUTUAL FUND SELECTION AND INVESTMENT AMOUNT

Select the fund(s) into which your investment will be purchased and provide the investment allocation for each fund. You must meet the minimum investment for each fund. If no fund allocation is given, or if your allocations do not add up to 100%, any unallocated portion of your investment will be invested into the U.S. Treasury Securities Cash Fund.

- Please make checks payable to: U.S. Global Investors.
- We do not accept the following instruments: money orders, starter checks, credit card checks, traveler's checks, third-party checks or other similar instruments. In addition, we do not accept cash or coins.
- To fund your account by wire, please call an Dealer Service Representative at 1-800-873-3639, Option 2 for wiring instructions.

The minimum initial investment is \$1,000,000.00 per fund.

FUND NAME	Initial Investment Amount <sup>1</sup>		
	\$	OR	%
MegaTrends Fund – Class I (MEGIX)	_____		_____
Global Resources Fund – Class I (PIPFX)	_____		_____
World Precious Minerals Fund – Class I (UNWIX)	_____		_____
<b>Total</b>	_____		_____

<sup>1</sup> Please refer to the *Account Fees and Minimums Guide*, included with this application, or the funds' most recent prospectus(es) for the current investment and transaction minimums. Your initial investment in each fund that you choose must meet the current minimum initial investment.

## 5. ACCOUNT OPTIONS

### Dividend and Capital Gain Distributions

Dividends and capital gains distributions are automatically reinvested into your account unless you indicate otherwise below.

Pay (select one or both):  Dividends/short-term capital gains  Long-term capital gains

Send proceeds as follows (select only one):

- Check to the address of record
- Electronically to my bank (please complete Section 6)
- Deposit into my existing U.S. Global fund account # \_\_\_\_\_ (at least one person referenced in Section 2 or 3, as applicable, must be listed in the account registration)
- Check to third party (specify full name and address of third party below)

Third-party payee's full name & address

### Telephone Transaction Options

Unless indicated below, I(we) authorize U.S. Global to accept instructions to exchange or redeem shares in my(our) account(s) by telephone, in accordance with the terms and conditions set forth in the current prospectus(es). Please provide the bank information in Section 6, otherwise all redemption proceeds will be sent by check to the address of record. As long as it takes reasonable steps to ensure that an order by telephone to redeem or exchange shares is genuine, neither U.S. Global nor any of its affiliates, subsidiaries or agents are responsible for any losses that may occur. If you decline the telephone exchange and/or redemption privileges, you will need to complete an *Account Options Form* with an original Medallion Signature Guarantee stamp, signed by all registered owners, to add these options in the future.

- I(WE) **DO NOT** authorize the telephone redemption privilege
- I(WE) **DO NOT** authorize the telephone exchange privilege

Redemptions by telephone may be made for a maximum of \$50,000 per day.

## 6. BANK INFORMATION

Complete this section if you would like to participate in the ABC Investment Plan®, make online purchases at [www.usfunds.com](http://www.usfunds.com), or have redemption and/or distribution proceeds sent electronically to your bank account. Requests to establish the ABC Investment Plan® must be received by U.S. Global Investors at least fifteen days prior to the start date. **At least one name on the voided check must be listed in Section 2 or 3, as applicable.**

- If you do not choose to add bank information to your account when your account is established, a completed *Account Options Form* with an original Medallion Signature Guarantee stamp may be required to add the bank instructions in the future.
- For trust, corporate, estate or other entity accounts, the registration on the check must exactly match the registration on your account.
- Your bank account will remain on the account and will be available to use for future one-time ACH purchases and ACH/wire redemptions.

Type of account:  Checking account  Savings account

Attach a voided, pre-printed blank check or pre-printed deposit slip here:

**Starter checks, temporary checks or blank (not pre-printed) deposit slips cannot be accepted.**

Mary A. Sample 10-90 70-123456 1234  
123 Any Street 555-5678  
Anytown, USA 12345

PAY TO THE ORDER OF \_\_\_\_\_ \$ 1234  
BANK OF ANYTOWN  
234 MAIN STREET  
ANYTOWN, USA 12345

PLEASE TAPE YOUR VOIDED BANK CHECK OR SAVINGS DEPOSIT SLIP HERE.

ABA Number: ⑆ 23401230 ⑆ Bank Account Number: ⑆ 234567 ⑆ 234

## 7. ELECT YOUR COST BASIS METHOD

Select a cost basis method for this account. This method will also apply to any accounts established at a later date. **If no selection is made, average cost will be used.**

- Cost basis does not apply to retirement, non-profit and business accounts (except for S corporations).
- While cost basis will not be provided for money market accounts, you may select a cost basis method for future non-money market accounts.
- Investor Representatives are not licensed tax advisors and are unable to give tax advice. Consider speaking to a tax advisor for guidance.

- Average cost – This method calculates an average cost per share by dividing the total of all investments by the total number of shares in the account.
- First in, first out (FIFO) – The oldest shares are sold first.
- Last in, first out (LIFO) – The newest shares are sold first.
- High cost, first out (HIFO) – The highest priced shares are sold first.
- Low cost, first out (LOFO) – The lowest priced shares are sold first.
- Loss/gain utilization – Shares are sold with the objective of minimizing gains. Shares that represent a loss are sold before shares that represent a gain.
- Specific lot identification – Specific shares are selected each time shares are sold. You must select a secondary method below. If no secondary method is chosen, FIFO will be assigned.
- FIFO       LIFO       HIFO       LOFO       Loss/gain utilization

## 8. DEALER INFORMATION (YOUR FINANCIAL ADVISOR)

I(we) hereby authorize U.S. Global to allow my(our) financial advisor, indicated below, to receive copies of any and all account correspondence, and to act as an Agent on my account to perform transactions on my behalf. **I(we) understand the designation of a financial advisor is not a requirement for opening an account with U.S. Global**, and that this designation will be in full force and effect until U.S. Global receives notification from me(us). I(we) further acknowledge that U.S. Global is not aware of, and cannot be bound by or responsible for, any separate agreement I(we) may have with my(our) financial advisor. Neither U.S. Global, nor their subsidiaries nor their affiliates have recommended me(us) to any financial advisor, nor have they endorsed or recommended any financial advisor to me(us).

**Reminder:** Only financial advisers with firms that have an agreement with U.S. Global Investors may be listed as Agent.

Full name of broker-dealer firm	U.S. Global dealer number		
Main/Home office address	City	State	ZIP code
Financial advisor's name	Rep number	Branch number	
Financial advisor's branch address	City	State	ZIP code
Financial advisor's phone number	E-mail address		

## 9. AUTHORIZATION AND SIGNATURE(S) – ALL REGISTERED OWNERS MUST SIGN

**IMPORTANT INFORMATION ABOUT OPENING A NEW ACCOUNT:** New account applications must have valid, verifiable information in order to successfully establish an account with U.S. Global Investors Funds (U.S. Global). Due to the requirements of the USA PATRIOT Act, U.S. Global is required to collect, verify and record certain identifying information for each person who owns or operates an account. This information includes, but is not limited to: social security number (SSN) or tax identification number (TIN), full name, physical address and date of birth. For any account, U.S. Global may request additional information to establish and maintain your account. If the requisite information is not received or if it cannot be verified, U.S. Global reserves the right to not establish the account until such verifiable information is received. All information provided to us is confidential as detailed in our privacy policy which can be obtained online at [www.usfunds.com](http://www.usfunds.com).

- I(we) warrant that I(we) have full authority and that I(we) am(are) of legal age to purchase shares pursuant to this account application. I(we) have read and agree to all terms and conditions set forth in the prospectus(es) for the fund(s) in which I(we) am(are) investing. I(we) further agree that this purchase of shares, and all future purchases of shares, will be subject to the terms and conditions set forth in the then-current prospectus(es). I(we) acknowledge that the telephone exchange and telephone redemption privileges are automatically established on my(our) account unless I(we) indicate otherwise on the application and that I(we) may bear the risk of loss in the event of fraudulent use of these privileges.
- I(we) agree to indemnify and hold harmless U.S. Global Investors, Inc., U.S. Global Investors Funds, United Shareholder Services, Inc., their affiliates, subsidiaries and assignees, and any directors, officers, employees or agents of these entities, including without limitation each fund, from any claims (including reasonable attorney's fees) that may arise by reason of acting upon these instructions and that I(we) have read, understand and accept all terms and conditions detailed on this application.
- Each account owner has been duly informed that his or her property may be transferred to the appropriate state if no activity occurs in the account within the time period specified by state law. These laws are more commonly referred to as "unclaimed property" or "escheatment" laws and vary by state.

**9. AUTHORIZATION AND SIGNATURE(S) – CONTINUED**

- U.S. Global and its transfer agent may accept telephone or written instructions to remit redemption proceeds and may pay and charge my(our) account for drafts drawn on my(our) account. This authorization will remain in full force and effect, and U.S. Global may continue to honor instructions to draft the bank account until notice is provided revoking this authority. U.S. Global must receive notice at least 15 business days prior to the due date of any future transaction. U.S. Global can begin accepting electronic deposits (credits) and withdrawals (debits) to the designated accounts and to reverse, if necessary, any deposits or withdrawals made in error to the accounts. Automated debit or credit entries shall constitute receipt by me(us) (U.S. Global account owner(s) and bank account owner(s)) for the transactions. The origination of ACH and/or wire transactions to both the U.S. Global account(s) and bank account(s) must comply with the provisions of U.S. law. As long as it takes reasonable steps to ensure that an order by telephone to redeem or exchange shares is genuine, neither U.S. Global nor any of its affiliates, subsidiaries or agents are responsible for any losses that may occur.
- I(we) consent to delivery of only one copy of the prospectus(es) and shareholder report to my(our) address, even if more than one person at my(our) address is a shareholder with U.S. Global ("householding"). By householding, U.S. Global can reduce the volume of mail delivered to my(our) address and reduce fund expenses.
  - Please check this box only if you do not consent to such householding and would like to receive your own prospectus and shareholder reports.

**Request for Taxpayer Identification Number (Substitute IRS Form W-9)**

Under penalties of perjury, I certify that:


- (1) The social security or employer identification number shown on this application is my correct TIN; and
- (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding; or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends; or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- (3) I am a U.S. citizen or legal U.S. resident.


Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

*The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.*

**MY(OUR) SIGNATURE(S) BELOW INDICATES I(WE) HAVE RECEIVED, READ, AND FULLY UNDERSTAND THE FUND PROSPECTUS(ES) AND THIS ACCOUNT APPLICATION AND AGREE TO THE TERMS THEREIN AND HEREIN. I(WE) CERTIFY THAT THE INFORMATION WHICH I(WE) HAVE PROVIDED AND THE INFORMATION WHICH IS INCLUDED WITH THIS ACCOUNT APPLICATION IS TRUE AND CORRECT.**

For corporations, partnerships or other entity accounts: I(we) hereby certify below that each of the persons listed below has been duly elected or appointed, and is now legally holding the office set forth opposite his/her name and has the authority to make this authorization. Please print titles below if signing on behalf of a corporation or partnership to establish this account. Signatures must be provided for all individuals authorized to act on behalf of this account.

	Signature of primary owner/authorized signer	Title (corporate, partnership or entity accounts only)	Date
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	Signature of joint owner/authorized signer	Title (corporate, partnership or entity accounts only)	Date
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**If more signatures are necessary, please attach an additional page.**  
Mail the completed application to:

**Standard Delivery Address**  
U.S. Global Investors Funds  
Attn: Shareholder Services  
PO Box 659405  
San Antonio TX 78265-9604

**Overnight Delivery Address**  
U.S. Global Investors Funds  
Attn: Shareholder Services  
7900 Callaghan Rd  
San Antonio TX 78229-2327

**If you have any questions, please contact an Institutional Representative at 1-800-873-3639, Option 2.**



## Account Fees and Minimums

This guide was developed to assist our customers with important information from the fund prospectus(es). This guide should not be used in lieu of the fund prospectus(es). This information is for reference only and the current fund prospectus(es) is(are) the final arbiter of the terms and conditions related to your fund account. There may be additional fees for certain other activities, which are detailed in the fund prospectus(es). The information below is based on the most recent prospectus(es) dated August 12, 2013.

Please note that we do not accept the following instruments: money orders, starter checks, credit card checks, traveler's checks, third-party checks or other similar instruments. In addition, we do not accept cash or coins. Investment checks must be written in U.S. dollars and drawn on a U.S. bank. **Please make checks payable to: U.S. Global Investors Funds.**

The fees and minimum investment amounts below apply to accounts held directly with U.S. Global. Other minimums and/or additional fees may apply to U.S. Global funds you hold through your brokerage firm, which U.S. Global cannot control. U.S. Global is a no-load mutual fund family, meaning we do not assess any sales commissions to purchase or sell shares.

### Minimum Investments (all investments are per transaction, per fund account):

Fund	Standard Initial Investment	Subsequent Purchases <sup>1</sup>
All Account Types	\$1,000,000.00	NA

### Administrative Fees (all fees listed are per fund account unless otherwise indicated)

Fund (Ticker Symbol)	Short-Term Trading Fee <sup>2</sup>	Account Closing Fee/Domestic Wire Fee	Small Balance Fee <sup>3</sup>
MegaTrends (MEGIX) Global Resources (PIPFX) World Precious Minerals (UNWIX)	0.05% for shares held 7 days or less	\$10 / \$10	NA

1 – There is no minimum subsequent investment amount, once the initial investment amount has been made.

2 – The short-term trading fee is not assessed on shares acquired through the reinvestment of dividends or capital gains.

3 – There is no small account fee. However, the funds also reserve the right to redeem your account or convert your Institutional Class shares to Investor Class Shares if your account falls below the minimum initial purchase amount due to shareholder transactions. Please note that you may incur a tax liability as a result of a redemption.

**Standard Mail Address:**  
U.S. Global Investors, Inc.  
Attn: Institutional Services  
P.O. Box 659405  
San Antonio, TX 78265-9604

**Overnight Mail Address:**  
U.S. Global Investors, Inc.  
Attn: Institutional Services  
7900 Callaghan Road  
San Antonio, TX 78229

**Customer Service:**  
1-800-873-3639  
Hours 7:30 AM to 6:30 PM Central  
E-mail: [institutional\\_operations@usfunds.com](mailto:institutional_operations@usfunds.com)  
**Visit our website at:** [www.usfunds.com](http://www.usfunds.com)