

## CHANGE OF REGISTRATION GUIDELINES

The following are guidelines to assist you in changing the registration on your account. If you have any questions or need additional registration instructions, please call an RiverNorth Funds representative at 1-888-848-7569.

In most cases, you will need to obtain a Medallion Signature Guarantee to process the registration change. A Medallion Signature Guarantee is most easily obtained from an institution with which you have a financial relationship. Examples of institutions that provide signature guarantees are Commercial Banks, Trust Companies, Broker/Dealers, Savings and Loans, and Credit Unions. A notary public is not an acceptable guarantor.

Even in cases where a Medallion Signature Guarantee is not required for the registration change, any redemptions over the threshold noted in the fund prospectus will still require a Medallion Signature Guarantee.

If redeeming the entire account, please include:

- A Form W-9, instead of a new account application
- A copy of the requestor's government issued ID, such as a Driver's License or passport
- Redemption instructions on letter of instruction

### SECTION 1: Individual

Type of account	Re-register to	We require
Individual	Joint Tenants with Rights of Survivorship	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by current account owner</li> <li>▪ New Entity Account Application</li> </ul>
Individual	Trust	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by current account owner</li> <li>▪ New Entity Account Application signed by all acting Trustees</li> <li>▪ A copy of the Trust document</li> </ul>
Individual – <i>Death of Individual</i>	Estate	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by the Personal Representative or Executor of the Estate</li> <li>▪ Certified Letters of Testamentary appointing the Personal Representative or Executor of the Estate</li> <li>▪ Copy of the death certificate</li> <li>▪ New Entity Account Application</li> </ul>
Individual Retirement Account (IRA) – <i>Death of Individual</i>	Spouse's IRA	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by the surviving spouse</li> <li>▪ Certified copy of the death certificate</li> <li>▪ New IRA account application, if applicable</li> <li>▪ IRA Distribution Form in order to satisfy the most recent required minimum distribution (RMD), if applicable</li> </ul>
Individual Retirement Account (IRA) – <i>Death of Individual</i>	Beneficiary IRA	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by the beneficiary</li> <li>▪ Certified copy of the death certificate</li> <li>▪ New IRA account application</li> <li>▪ IRA Distribution Form in order to satisfy the most recent required minimum distribution (RMD), if applicable</li> </ul>

### SECTION 2: Transfer on Death (TOD)

Type of account	Re-register to	We require
Individual – <i>Death of Individual</i>	Individual	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by the beneficiary</li> <li>▪ Certified copy of the death certificate</li> <li>▪ New account application</li> <li>▪ If there are multiple beneficiaries, each beneficial owner needs to provide their own Medallion Signature Guaranteed letter of instruction and include the following statement: "There are no known disputes as to the persons entitled to a distribution under the nonprobate transfer, or the amounts to be distributed to each person, and no known claims affecting the distribution requested."</li> </ul>
Individual – <i>Death of Individual</i>	Trust/Estate	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed in capacity by the executor or acting trustee(s), as applicable</li> <li>▪ Certified copy of the death certificate</li> <li>▪ New Entity Account Application signed in capacity by all acting representatives</li> <li>▪ Copy of the trust or estate documents</li> </ul>

**SECTION 3: Joint**

Type of account	Re-register to	We require
Joint Tenants with Rights of Survivorship – <i>All owners living</i>	Individual, or Joint Tenants with Rights of Survivorship	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by all current owners of the account</li> <li>▪ New account application</li> </ul>
Joint Tenants with Rights of Survivorship – <i>When due to divorce</i>	Individual, or Joint Tenants with Rights of Survivorship	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by all current owners of the account</li> <li>▪ New account application(s)</li> </ul>
Joint Tenants with Rights of Survivorship – <i>Death of one owner</i>	Individual, for surviving owner	<ul style="list-style-type: none"> <li>▪ Letter of instruction signed by the surviving owner</li> <li>▪ Certified copy of the death certificate</li> <li>▪ New account application</li> </ul>

**SECTION 4: Trust**

Type of account	Re-register to	We require
Trust – <i>Death of a Trustee</i>	Trust – Successor Trustee(s)	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by all surviving Trustees</li> <li>▪ Certified copy of the death certificate</li> <li>▪ Copy of the trust showing the term of the trust by which a successor trustee is appointed at the death of a trustee</li> <li>▪ New Entity Account Application signed by all acting Trustees</li> </ul>

**SECTION 5: UGMA/UTMA (Uniform Gift/Transfer to Minor Account)**

Type of account	Re-register to	We require
UGMA/UTMA – <i>Minor reaches the age at which custodianship terminates</i>	Individual	<ul style="list-style-type: none"> <li>▪ Letter of instruction signed by the former minor stating that he/she has reached the age at which custodianship terminates</li> <li>▪ New account application, completed by the former minor</li> <li>▪ Copy of the driver's license for the former minor</li> </ul>
UGMA/UTMA – <i>Death of custodian</i>	UGMA/UTMA – <i>New Appointed Custodian</i>	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by new appointed custodian</li> <li>▪ Certified copy of the death certificate for the former custodian</li> <li>▪ Proof of successor's capacity</li> <li>▪ New account application</li> </ul>
UGMA/UTMA – <i>Resignation of custodian</i>	UGMA/UTMA – <i>New Appointed Custodian</i>	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction signed by the current custodian verifying their resignation</li> <li>▪ New account application</li> </ul>

**SECTION 6: Name Change**

Type of account	Re-register to	We require
Name Change	New Name	<ul style="list-style-type: none"> <li>▪ Medallion Signature Guaranteed letter of instruction clearly requesting the change of name from former name to current name or copy of court documentation for name change.</li> </ul>

**For questions regarding registration changes, please contact an Investor Services Representative at 1-888-848-7569.**

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