

# **NEW ACCOUNT APPLICATION**

Do not use this form for IRA accounts.

Please print clearly in CAPITAL LETTERS

The minimum initial and subsequent investment for class A and C shares is \$1,000 and \$100 respectively. The minimum initial investment in Class I shares is \$100,000. There is no minimum subsequent investment for Class I shares.

If you have any questions or need any help filling out the application, please call **(877) 779-7462**. www.donoqhueforlinesfunds.com

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

Donoghue Forlines Funds P.O. Box 541150 Omaha, NE 68154

Distributed by Northern Lights Fund Distributors, LLC

ACCOUNT OWNERSHIP		
Please provide complete information for E	EITHER A, B, C or D:	
A. INDIVIDUAL OR JOINT (Please ch	heck one):	
☐ Individual ☐ Joint Account*	*Tenants with Rights of Survivorship will be assum	ned, unless otherwise specified.
		/ /
Name	Social Security Number	Birth Date
		/ /
Joint Owner	Social Security Number	Birth Date
Email		
Citizenship U.S. or Resident Alien	☐ Other (please specify)	
B. UNIFORM GIFTS TO MINORS AC UNIFORM TRANSFERS TO MINO		
ON TRAISIERS TO MINO	NO ACCOUNT (CTMA)	/ /
Custodian's Name	Custodian's Social Security Number	Custodian's Date of Birth
Minor's Name	Minor's Social Security Number	/ / Minor's Date of Birth
Minor's State of Residence		Email
C TRUST (Include a capy of the title page	ge, authorized individual page and signature page of the <b>7</b>	ruct Agraement. Failure to provide thi
documentation may result in a delay in pi		<b>rust Agreement</b> . Fandre to provide tris
Trust or Plan Name	Email	
Trust of Fight Name	Littali	
Trust Date (mo/day/yr)	Employer or Trust	Taxpayer Identification Number
Trustee's (Authorized Signer's) Name (First, Mi	iddle Initial, Last)	
-		
Trustee's Date of Birth (mo/day/yr)	Trustee's Social Se	curity Number
Co-Trustee's (Authorized Signer's) Name (First	t, Middle Initial, Last)	
Co-Trustee's Date of Birth (mo/day/yr)	Co-Trustee's Socia	Security Number

authorized individuals. Failure to provide this documentatio	n may result in a delay in process	sing your applica	at verifies the entity and list ation.)
☐ C Corporation ☐ S Corporation ☐ Corpor	ration 🗆 Partnership	☐ Govern	nment Entity
☐ Other (please specify) If no classification is provided, per IRS regulations,	your account will default to a	n S Corporatio	on.
Name of Corporation or Other Business Entity Ta	ax ID Number		Email
Authorized Individual Social Security Number	Co Authorized Individual	Soci	ial Security Number
2. MAILING AND CONTACT INFORMATION			
LEGAL ADDRESS (Must be a street address)			
Street Address	Daytime Telephone		
City, State, Zip	Evening Telephone		
☐ Please send mail to the address below. Please provide your p	rimary legal address above, in ad	dition to any ma	ailing address (if different).
Mailing Address	City, State, Zip		<del></del>
Mailing Address  INITIAL INVESTMENT (Class A and C shares minim		Class I share m Share Cl	
C			
. INITIAL INVESTMENT (Class A and C shares minim	um initial investment is \$1,000. (	Share Cl	ass
. INITIAL INVESTMENT (Class A and C shares minim  Donoghue Forlines Dividend Fund	um initial investment is \$1,000. (	Share Cl	ass □ Class C □ Class I
. INITIAL INVESTMENT (Class A and C shares minim  Donoghue Forlines Dividend Fund  Donoghue Forlines Risk Managed Income Fund	um initial investment is \$1,000. (  \$ \$	Share Cl  ☐ Class A  ☐ Class A	Class C Class I
. INITIAL INVESTMENT (Class A and C shares minim  Donoghue Forlines Dividend Fund  Donoghue Forlines Risk Managed Income Fund  Donoghue Forlines Tactical Allocation Fund	um initial investment is \$1,000. (  \$ \$ \$	Share Cl  ☐ Class A  ☐ Class A  ☐ Class A	Class C □ Class I□ Class C □ Class I□ Class C □ Class I□
Donoghue Forlines Dividend Fund Donoghue Forlines Risk Managed Income Fund Donoghue Forlines Tactical Allocation Fund Donoghue Forlines Tactical Income Fund	ssssssss	Share Cl  Class A  Class A  Class A  Class A  Class A  Class A	Class C Class I
Donoghue Forlines Dividend Fund Donoghue Forlines Risk Managed Income Fund Donoghue Forlines Tactical Allocation Fund Donoghue Forlines Tactical Income Fund Donoghue Forlines Momentum Fund  Make check payable to the "Fund" or if investing in a If investing by wire: Call (877) 779-7462 and indic	ssssssss	Share Cl  Class A  Class A  Class A  Class A  Class A  Class A	Class C Class I
Donoghue Forlines Dividend Fund Donoghue Forlines Risk Managed Income Fund Donoghue Forlines Tactical Allocation Fund Donoghue Forlines Tactical Income Fund Donoghue Forlines Momentum Fund  Make check payable to the "Fund" or if investing in a If investing by wire: Call (877) 779-7462 and indic	um initial investment is \$1,000. (  \$	Share Cl  Class A  Class A  Class A  Class A  Class A  Class A	Class C Class I
Donoghue Forlines Dividend Fund Donoghue Forlines Risk Managed Income Fund Donoghue Forlines Tactical Allocation Fund Donoghue Forlines Tactical Income Fund Donoghue Forlines Momentum Fund  Make check payable to the "Fund" or if investing in If investing by wire: Call (877) 779-7462 and indic	ssss multiple funds, Donoghue Foate the amount of the wire \$_ecks are not accepted.	Share Cl  Class A  Class A  Class A  Class A  Class A  Class A  Class A	Class C

### Rights of Accumulation **Letter of Intent** If you already own Class A shares of the Donoghue Forlines Funds, You can reduce the sales charge you pay on Class A shares by you may already be eligible for a reduced sales charge on Class A investing a certain amount over a 13-month period. Please share purchases. Please provide the account number(s) below to indicate the total amount you intend to invest over the next 13qualify (if eligible). months. Account No. \_ □ \$50.000 □ \$100.000 \$250,000 \$500,000 □ \$1,000,000 Account No. ☐ Net Asset Value (NAV). I have read the prospectus and qualify for a complete waiver of the sales charge on Class A shares. Registered representatives may complete the Dealer Information section as proof of eligibility. Reason for Waiver: **AUTOMATIC INVESTMENT PLAN (AIP)** AIP allows you to add regularly to the Fund 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 in to: on the \_\_\_\_\_ day of the month ☐ Monthly Beginning: \_\_\_\_/\_\_\_/ Important Note: If the AIP date falls on a holiday or weekend the deduction from your checking or savings account will occur on the next business day. **AUTOMATIC WITHDRAWAL PLAN (AWP)** The Fund account must be valued at \$10,000 or more to establish Automatic Withdrawal Plan. As specified below, please withdraw from my Donoghue Forlines Funds account: \_\_\_\_ exact dollars per period (\$100 minimum) Send checks: Beginning: \_\_\_\_/\_\_\_/ ☐ Monthly ☐ Quarterly ☐ Bank of record (See Section 8) ☐ Alternate payee Send checks to: □ Address of record Name Daytime Telephone City, State, Zip **Evening Telephone** BANK INFORMATION I authorize the Fund to purchase shares through the Automatic Investment Plan via the Automated Clearing House of which my bank is a member. Type of Account: Checking Savings Name on Bank Account Bank Account Number Bank Name Bank Routing/ABA Number

**REDUCED SALES CHARGE** Complete this section if you qualify for a reduced sales charge. See Prospectus for Terms & Conditions.

Please attach a voided check from your account.

**Bank Address** 

### 9. COST BASIS METHOD

Note: The default cost basis calculation method for your new account will be Average Cost. If you wish to elect a different cost basis method, please contact the Fund to obtain a Cost Basis Election Form.

#### 10. DEALER/REGISTERED INVESTMENT ADVISOR INFORMATION

Representative's Last Name,	First Name
REPRESENTATIVE'S BRANCH	OFFICE
Address	
City, State, ZIP	
Rep Telephone Number	Rep ID Number
Rep Email Address	
Branch ID Number	
	REPRESENTATIVE'S BRANCH  Address  City, State, ZIP  Rep Telephone Number  Rep Email Address

### 11. STATE ESCHEATMENT LAWS

Escheatment laws adopted by various states require that personal property that is deemed to be abandoned or ownerless, including mutual fund shares and bank deposits, be transferred to the state. Under such laws, ownership of your Fund shares may be transferred to the appropriate state if no activity occurs in your account within the time period specified by applicable state law. The Fund retains a search service to track down missing shareholders and will escheat an account only after several attempts to locate the shareholder have failed. To avoid this from happening to your account, please keep track of your account and promptly inform the Fund of any change in your address.

#### 12. 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 because; (1) I am exempt from backup withholding, or (2) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of failure to report all interest or dividends, or (3) the IRS has notified me that I am no longer subject to backup withholding.
- (c) I am a U.S. person (including a resident alien.)
- (d) I am exempt from FATCA reporting.

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.

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:

- I have full authority and am of legal age to purchase shares of the Fund;
- I have received and read a current prospectus for Donoghue Forlines Funds and agree to be bound by the terms contained therein; and
- 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 Fund's outstanding shares.

The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.

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

#### TO CONTACT US:

<u>By Telephone</u> Toll free **(877) 779-7462**  In Writing
Donoghue Forlines Funds
PO Box 541150
Omaha, NE 68154
or
Via Overnight Delivery
4221 N. 203<sup>rd</sup> Street, Suite 100
Elkhorn, NE 68022

Internet

www.donoghueforlinesfunds.com

Distributed by Northern Lights Distributors, LLC

### PRIVACY NOTICE

## NORTHERN LIGHTS FUND TRUST

Rev. February 2014

<b>FACTS</b>
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### WHAT DOES NORTHERN LIGHTS FUND TRUST DO WITH YOUR PERSONAL INFORMATION?

## Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some, but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

### What?

The types of personal information we collect and share depends on the product or service that you have with us. This information can include:

- Social Security number and wire transfer instructions
- account transactions and transaction history
- investment experience and purchase history

When you are no longer our customer, we continue to share your information as described in this notice.

## How?

All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Northern Lights Fund Trust chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information:	Does Northern Lights Fund Trust share information?	Can you limit this sharing?
For our everyday business purposes - such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus.	YES	NO
For our marketing purposes - to offer our products and services to you.	NO	We don't share
For joint marketing with other financial companies.	NO	We don't share
For our affiliates' everyday business purposes - information about your transactions and records.	NO	We don't share
For our affiliates' everyday business purposes - information about your credit worthiness.	NO	We don't share
For nonaffiliates to market to you	NO	We don't share

**QUESTIONS?** Call 1-402-493-4603

# PRIVACY NOTICE

# NORTHERN LIGHTS FUND TRUST

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What we do:	
How does Northern Lights Fund Trust protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
	Our service providers are held accountable for adhering to strict policies and procedures to prevent any misuse of your nonpublic personal information.
How does Northern Lights Fund Trust collect my personal information?	<ul> <li>We collect your personal information, for example, when you</li> <li>open an account or deposit money</li> <li>direct us to buy securities or direct us to sell your securities</li> <li>seek advice about your investments</li> </ul>
	We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.
Why can't I limit all sharing?	<ul> <li>Federal law gives you the right to limit only:</li> <li>sharing for affiliates' everyday business purposes – information about your creditworthiness.</li> <li>affiliates from using your information to market to you.</li> <li>sharing for nonaffiliates to market to you.</li> </ul>
	State laws and individual companies may give you additional rights to limit sharing.

Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies.  • Northern Lights Fund Trust does not share with our affiliates.
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies.  • Northern Lights Fund Trust does not share with nonaffiliates so they can market to you.
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you.  • Northern Lights Fund Trust doesn't jointly market.