INDIVIDUAL RETIREMENT TRANSFER OF ASSETS FORM

Please complete this form only if you are transferring assets directly to a new or existing Deer Park Total Return Credit Fund IRA, converting from a Traditional IRA to a Roth IRA, transferring from an existing Roth IRA, rolling over a Roth IRA, or you are requesting a direct rollover from an employer sponsored plan. Please complete a separate form for each IRA you wish to transfer or for each qualified plan you are directly rolling over. If you are establishing a new Deer Park Total Return Credit Fund IRA, this form must be preceded or accompanied by a completed Individual Retirement Custodial Account Adoption Agreement. Transfers may take 3 to 5 weeks to complete after your paperwork is received in good order.

For Additional Copies or Assistance
If you need additional copies of this form, or would like assistance completing it, please call the Deer Park Total Return Credit Fund at **(888) 868-9501**.

Instructions

- If you are establishing a new Deer Park Total Return Credit Fund IRA, this form must be preceded or accompanied by a completed Individual Retirement Account Adoption Agreement.
- Mail this Transfer Form to:
  Deer Park Total Return Credit Fund
  PO Box 541150
  Omaha, NE 68154

  Overnight Delivery:
  Deer Park Total Return Credit Fund
  4221 N 203rd Street, Suite 100
  Elkhorn, NE 68022
- Retain a copy for your records.

1. ACCOUNT REGISTRATION

Please provide your primary legal address, in addition to any mailing address (if different).

Owner's Name (First, Middle, Last)	Social Security Number
Street Address	Date of Birth
City, State, Zip	Daytime Telephone
Email Address	Evening Telephone

☐ This is a new IRA account with the Deer Park Total Return Credit Fund. I have completed and enclosed an IRA Application with this transfer form.

☐ This is an existing IRA. Please apply transfer proceeds to my account number: _____

2. CURRENT IRA CUSTODIAN/TRUSTEE INFORMATION

Name of Current Custodian or Trustee	Account Name
Street Address	Account Number
City, State, Zip	Telephone Number of Current Custodian

Please attach a copy of the most recent statement for this account.

3. TRANSFER INFORMATION

Please transfer assets from the above account to Constellation Trust Company. Transfer should be according to the following instructions:

This transfer is a: (check one)

☐ Full Transfer. Please liquidate all assets in my account.

☐ Partial Transfer Liquidate$ _____ from my account.

☐ Transfer in kind:

Please transfer _____ shares of _____
(Fund Name)

The type of account I am transferring from is a: (check one)

☐ Traditional IRA
☐ Rollover IRA
☐ SEP IRA
☐ Roth IRA
☐ Roth Conversion IRA
☐ SIMPLE IRA
☐ Qualified Retirement Plan
☐ 403 (B) Plan/Tax Shelter Annuity
☐ Coverdell ESA
☐ Inherited Traditional IRA
☐ Inherited ROTH IRA

This transfer should be made: (check one)

☐ Immediately

☐ Upon maturity (if applicable). Maturity date is: _____
(Please return this form 2 weeks prior to maturity)

The type of account I am transferring to is a: (check one)

☐ Traditional IRA
☐ Rollover IRA
☐ SEP IRA
☐ Roth IRA
☐ Roth Conversion IRA
☐ SIMPLE IRA
☐ 403 (B) Plan
☐ Coverdell ESA
☐ Inherited Traditional IRA
☐ Inherited ROTH IRA

I understand that the requirements for a valid transfer to a Traditional IRA or Roth IRA are complex and I acknowledge that I have the responsibility for complying with all requirements and for the tax results of any such transfer.

4. TAX WITHHOLDING ELECTION

Please complete this section only if you are transferring from another type of IRA to a Roth IRA

Under IRA rules, a transfer of a Traditional IRA, SEP IRA or SIMPLE IRA to a Roth IRA is treated for income tax purposes as a distribution of taxable amounts in the other IRA. IRS rules also require the custodian to withhold 10% of the conversion amount for federal income taxes unless no withholding has been elected. See IRS Publication 505, "Tax Withholding and Estimated Tax" for more information. State tax withholding may also apply if federal income tax is withheld.

☐ No income tax withholding ☐ Withhold 10% for income tax ☐ Withhold _____% for income tax

Important: Withholding income taxes from the amount transferred (instead of paying applicable income taxes from another source) may adversely impact the expected financial benefits of transferring from another IRA to a Roth IRA (consult your financial advisor if you have a question). Because of this impact, by electing to convert a Traditional IRA to a Roth IRA, you are deemed to elect no withholding unless you check the box above. In so doing, by signing this form, you acknowledge that you may be required to pay estimated tax and that insufficient payments of estimated tax may result in penalties.

5. CERTIFICATIONS AND SIGNATURES

I certify to the current IRA custodian or trustee that I have established a successor Individual Retirement Custodial Account meeting the requirements of the Internal revenue Code to which assets will be transferred, and I certify to Constellation Trust Company that the account from which assets are being transferred meets the requirements of the Internal Revenue Code and that the transfer satisfies the requirements for nontaxable transaction. **The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.**

_____

IRA account Owner's Signature

_____

Date

Medallion Signature Guarantee* (if required):
Some Custodians/Trustees require a signature guarantee to transfer assets. Please check with your Custodian/Trustee to see if they require a medallion signature guarantee. Failure to obtain a required signature guarantee may result in a delay in the transfer of assets.

*A signature guarantee can be obtained from a bank, broker-dealer, a credit union, a national securities exchange, savings association or other financial intermediaries that are members of an Approved Medallion Guarantee Program. A signature by a Notary Public is not acceptable as a signature guarantee.

6. CUSTODIAN ACCEPTANCE

Constellation Trust Company agrees to accept the transfer of the above amount for deposit in a Constellation Trust Company Individual Retirement Custodial Account for the individual set forth in Section 1 of this form and requests the transfer of assets as indicated above.

Accepted by:_____ Date:_____

7. TRANSFER INSTRUCTIONS

Make check payable to:

Deer Park Total Return Credit Fund

FBO: _____

Account Number: _____

Mail to:
Deer Park Total Return Credit Fund
PO Box 541150
Omaha, NE 68154
or
Via Overnight Delivery
4221 N. 203rd Street, Suite 100
Elkhorn, NE 68022

TO CONTACT US:

By Telephone
Toll-free **(888) 868-9501**
Fax **402-963-9094**

Internet
www.deerparkfund.com

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PRIVACY NOTICE

NORTHERN LIGHTS FUND TRUST

Rev. February 2014

FACTS **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

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?	We collect your personal information, for example, when you • open an account or deposit money • direct us to buy securities or direct us to sell your securities • seek advice about your investments We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.
Why can't I limit all sharing?	Federal law gives you the right to limit only: • sharing for affiliates' everyday business purposes – information about your creditworthiness. • affiliates from using your information to market to you. • sharing for nonaffiliates to market to you. 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.*