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## CHANGE OF REGISTRATION GUIDELINES

**OVERNIGHT DELIVERY TO:**

Heartland Funds, c/o ALPS Fund Services,  
1290 Broadway, Suite 1100, Denver, CO 80203

**REGULAR MAIL TO:**

Heartland Funds  
P.O. Box 177, Denver, CO 80201-0177

**FOR ASSISTANCE, PLEASE CALL A**

**SHAREHOLDER SERVICES REPRESENTATIVE**  
**AT 1-800-432-7856 OR (414) 289-7000.**

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 a Heartland representative at 1-800-432-7856.

In most cases you will need to have your signature Medallion guaranteed 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 Medallion Signature guarantees are Commercial Banks, Trust Companies, Broker/Dealers, Savings and Loans, and Credit Unions. A notary public is not an acceptable guarantor.

1 INDIVIDUAL			
Type of account	Re-register to	We require	
Individual	Joint Tenants with Rights of Survivorship	<ul style="list-style-type: none"> <li>Change of Registration Form, signed by current account owner, Medallion Signature guaranteed.</li> <li>New Account Application.</li> </ul>	
Individual	Trust	<ul style="list-style-type: none"> <li>Change of Registration Form, signed by current account owner, Medallion Signature guaranteed.</li> <li>New Account Application.</li> <li>A copy of the trust document.</li> </ul>	
Individual — Death of Individual	Estate	<ul style="list-style-type: none"> <li>Letter of Instruction signed by the Personal Representative of the Estate, Medallion Signature guaranteed.</li> <li>Letters of Testamentary appointing the Personal Representative, dated no earlier than 60 days from the request transfer</li> <li>Certified copy of the death certificate.</li> <li>New Account Application.</li> </ul>	
2 JOINT			
Type of account	Re-register to	We require	
Joint Tenants with Right of Survivorship – <i>All owners living</i>	Individual, or Joint Tenants with Rights of Survivorship	<ul style="list-style-type: none"> <li>Change of Registration Form, signed by all current owners, Medallion Signature guaranteed.</li> <li>New Account Application.</li> </ul>	
Joint Tenants with Right of Survivorship – <i>When due to divorce</i>	Individual, or Joint Tenants with Rights of Survivorship	<ul style="list-style-type: none"> <li>Letter of Instruction signed by all current owners of the account, Medallion Signature guaranteed OR Certified copy of the divorce decree that states who the owner is.</li> <li>New Account Application.</li> </ul>	
Joint Tenants with Right 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, Medallion Signature guaranteed.</li> <li>Certified copy of the death certificate.</li> <li>New Account Application.</li> </ul>	
3 TRUST			
Type of account	Re-register to	We require	
Trust – Death of a Trustee	Trust – Successor Trustee(s)	<ul style="list-style-type: none"> <li>Letter of instruction signed by all surviving Trustees, Medallion Signature guaranteed.</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 Account Application.</li> </ul>	

<b>4</b>	<b>UGMA/UTMA (UNIFORM GIFT/TRANSFER TO MINOR ACCOUNT)</b>		
	<b>Type of account</b>	<b>Re-register to</b>	<b>We require</b>
	UGMA/UTMA – Minor reaches age of majority	Individual	<ul style="list-style-type: none"> <li>• Letter of instruction signed by the custodian verifying that the custodian is aware of the transfer, Medallion Signature guaranteed. New Account application, completed by the former minor.</li> </ul> <p>or</p> <ul style="list-style-type: none"> <li>• Letter of instruction signed by the former minor stating that he/she is now the age of majority. New Account Application completed by the former minor. Copy of birth certificate or driver's license.</li> </ul>
<b>5</b>	<b>NAME CHANGE</b>		
	<b>Type of account</b>	<b>Re-register to</b>	<b>We require</b>
	Name Change		<ul style="list-style-type: none"> <li>• Letter of instruction signed with both the new name and old name, Medallion Signature guaranteed.</li> <li>• Copy of marriage certificate or name change document.</li> </ul>

For additional registration changes, please call a Heartland representative at 1-800-432-7856 or (414) 289-7000.