



# Account Application

## Investment and Service Class Shares

This application can only be used for initial purchase of the Investment and Service Class shares of *The Royce Funds* listed on page 3. It cannot be used to open an Individual Retirement Account (IRA). For additional Royce Account applications, visit [www.roycefunds.com/literature](http://www.roycefunds.com/literature), or call (800) 221-4268. **The Funds reserve the right both to suspend the offering of Fund shares to new investors and to reject any specific purchase request.** The Funds do not offer their shares for sale outside of the United States.

### CUSTOMER IDENTIFICATION PROGRAM

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, and other information and/or documentation that will allow us to identify you. This information will be verified to ensure the accurate identity of all individuals opening a mutual fund account.
- If we are unable to obtain the required information and documentation within a reasonable amount of time, your application will be rejected.
- If we are unable to verify your identity within a reasonable amount of time, the Fund reserves the right to freeze or liquidate your account.

**Please Print, Preferably with Black Ink**

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## Step One Account Registration

**Check one box.** Provide the information exactly as you wish it to appear on your account (e.g., as your name appears on your other legal/financial records, such as your bank account, will, etc.). Provide your Social Security or Taxpayer Identification Number to avoid withholding of taxes.

### INDIVIDUAL OR JOINT ACCOUNT

Transfer on Death Registrations require a separate form, which you can download at [www.roycefunds.com](http://www.roycefunds.com) or obtain by calling (800) 221-4268.

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OWNER'S NAME (FIRST, MIDDLE, LAST)

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OWNER'S SOCIAL SECURITY NUMBER

DATE OF BIRTH (MM/DD/YYYY)

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JOINT OWNER'S NAME (FIRST, MIDDLE, LAST)

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JOINT OWNER'S SOCIAL SECURITY NUMBER

DATE OF BIRTH (MM/DD/YYYY)

Joint accounts will be registered as joint tenants with right of survivorship unless otherwise indicated.

### UNIFORM GIFT OR TRANSFER TO MINOR ACCOUNT

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CUSTODIAN'S NAME (ONE NAME ONLY FIRST, MIDDLE, LAST)

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CUSTODIAN'S SOCIAL SECURITY NUMBER

DATE OF BIRTH (MM/DD/YYYY)

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MINOR'S NAME (ONE NAME ONLY FIRST, MIDDLE, LAST)

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MINOR'S SOCIAL SECURITY NUMBER

DATE OF BIRTH (MM/DD/YYYY)

*(If applied for, please provide copy of application.)*

under the \_\_\_\_ Uniform Gift/Transfer to Minors Act  
(State of Minor's Residence)

**TRUST (INCLUDING CORPORATE RETIREMENT PLANS)**

A copy of the first and last page of the Trust Agreement must be attached. If necessary, attach a separate list for additional trustees that includes their full name(s), date(s) of birth, and Social Security Number(s).

TRUSTEE'S NAME(S) (FIRST, MIDDLE, LAST)

TRUSTEES'S SOCIAL SECURITY NUMBER DATE OF BIRTH (MM/DD/YYYY)

NAME OF TRUST OR RETIREMENT PLAN DATE OF TRUST AGREEMENT (MM/DD/YYYY)

FOR BENEFIT OF (NAME, IF APPLICABLE) SOCIAL SECURITY NUMBER OR TAXPAYER ID NUMBER

**LEGAL ENTITIES Must Complete: Legal Entity Beneficial Ownership Certification Form**

**Type:**  C Corporation  S Corporation  Partnership  Nominee  Non-Profit  Statutory Trust  Government Entity

Limited Liability Company (If LLC, Provide the tax classification) \_\_\_\_\_

If no classification is provided, per IRS regulations, your account will default to S Corporation.

NAME OF ENTITY TAXPAYER ID NUMBER

Check here if a Tax-Exempt Entity Under IRS Sec. 501(c)3

(For Corporations, Nominees and other organizations, a copy of the certified articles of incorporation and the business license of the corporation must be attached. For Partnerships, a copy of the partnership agreement must be attached.)

**Check if exempt from identification verification due to:**

Publicly traded entity (Symbol \_\_\_\_\_)

Financial Institution regulated by a federal functional regulator

Bank regulated by state bank regulator

Retirement plan covered by ERISA

**Step Two Addresses**

**If the account's mailing address is a post office box, a street address is also required by federal law. APO and FPO addresses will be accepted.**

OWNER'S STREET ADDRESS CITY, STATE, ZIP CODE

OWNER'S MAILING ADDRESS (STREET OR PO BOX NUMBER) CITY, STATE, ZIP CODE

DAYTIME PHONE NUMBER EVENING PHONE NUMBER

JOINT OWNER'S STREET ADDRESS (REQUIRED IF DIFFERENT FROM OWNER'S STREET ADDRESS) CITY, STATE, ZIP CODE

**Step Three Advisor/Dealer Information**

**Must be completed for your financial advisor/dealer to receive copies of statements.**

REPRESENTATIVE NAME REPRESENTATIVE NUMBER

FIRM NAME

BROKER BRANCH NUMBER PHONE NUMBER

STREET ADDRESS CITY, STATE, ZIP CODE

## Step Four Choose Your Investment(s)

\$2,000 MINIMUM INITIAL INVESTMENT

FUND NAME	FUND NUMBER	SYMBOL	AMOUNT
<b>INVESTMENT CLASS</b>			
Royce Dividend Value Fund	341	RDVIX	\$
Royce International Premier Fund	897	RIPNX	\$
Royce Low-Priced Stock Fund	284	RLPHX	\$
Royce Micro-Cap Fund	264	RYOTX	\$
Royce Opportunity Fund	249	RYPNX	\$
Royce Pennsylvania Mutual Fund	260	PENNX	\$
Royce Premier Fund	265	RYPRX	\$
Royce Small-Cap Value Fund	270	RVVHX	\$
Royce Smaller-Companies Growth Fund	271	RVPHX	\$
Royce Special Equity Fund	327	RYSEX	\$
Royce Total Return Fund	267	RYTRX	\$
<b>SERVICE CLASS</b>			
Royce Global Financial Services Fund	268	RYFSX	\$
			<b>TOTAL \$</b>

## Step Five Payment

**Make your checks payable to The Royce Fund.** The Funds do not accept third-party checks, “starter” checks or money orders.

**Payment of:** Initial Investment (check enclosed) \$ \_\_\_\_\_

## Step Six Dividend and Capital Gain Payment Options

**Check one box.** If no box is checked, all income dividends and capital gain distributions will be reinvested.

- Reinvest both dividends and capital gain distributions       Pay dividends and capital gain distributions in cash  
 Pay dividends in cash, reinvest capital gain distributions

## Step Seven Cost Basis

**Please review the list of available options and select your preferred reporting method.** If you do not select an option, the funds default method of Average Cost will be selected as your cost basis method. Check one box. If you select **Specific Lot Identification (SLID)**, a secondary reporting method must be selected in the event the lots you have selected are not available.

- ACST** Average Cost I elect to use Average Cost as my election. This option only reports covered shares.  
 **FIFO** First in First Out       **LIFO** Last in First Out  
 **HIFO** High Cost First Out       **LOFO** Low Cost First Out  
 **LGUT** Lost Gain Utilization       **SLID** Specific Lot Identification Secondary Reporting Method Selection \_\_\_\_\_

For more information on Cost Basis, call Shareholder Services at 1-800-841-1180 or visit [www.1costbasissolution.com](http://www.1costbasissolution.com)

## Step Eight Online, Telephone, and Other Services

**Indicate the type of service you wish to establish.** These services provide a convenient way to purchase or sell shares automatically or at your discretion.

### EXPEDITED PURCHASES AND REDEMPTIONS

To purchase or redeem shares at any time, using a bank account to clear the transaction (\$50 minimum by ACH, \$500 by wire). This service enables you, at your discretion, to transfer up to \$200,000 on a purchase or \$50,000 on a redemption between your Royce Fund account and your bank account with a toll-free Phone call to Shareholder Services—(800) 841-1180—during regular business hours or to Royce InfoLine—(800) 78-ROYCE—at any time. You may also purchase or redeem shares online at [www.roycefunds.com](http://www.roycefunds.com).

### AUTOMATIC INVESTMENT PLAN

This service automatically purchases shares in your Royce Fund account by transferring money from your bank account on a monthly or quarterly basis.

On the \_\_\_\_\_ day of each  month  quarter, transfer \$ \_\_\_\_\_ from my bank account to purchase shares in my Royce Fund account (\$50 minimum). I wish to begin my plan in \_\_\_\_\_ (select month).

**AUTOMATIC WITHDRAWAL PLAN**

This service automatically sells shares in your Royce Fund account and transfers the money to your bank account on a monthly basis. A \$25,000 minimum account balance is required to initiate the Plan.

On the 15th day of each  month  quarter, transfer \$ \_\_\_\_\_ from my Royce Fund account to my bank account (\$50 minimum).

**\$25,000 minimum account balance required.**

To arrange for these services, you must check the appropriate box. Passbook savings accounts may not be eligible for these services, and your bank must be a member of the Automated Clearing House (ACH) network. Be sure to specify the amount of the investment/withdrawal and the transaction date. You may not establish both an Automatic Investment Plan and an Automatic Withdrawal Plan on the same account. Phone Purchases and Redemptions may be established with either of the automatic plans. A medallion guarantee may be required if your bank registration does not match your Royce Fund account registration. A medallion guarantee may be obtained from a bank, broker or other guarantor that DST AMS deems acceptable. Please allow three weeks for set-up before using these services.

Take bank account information from the initial investment check enclosed.  A voided check is attached.

**CONSENT FOR eDELIVERY OF DOCUMENTS**

You can go paperless by consenting to receive statements and/or other important documents via the Internet, rather than by mail. If you consent to eDelivery, you will be sent email notifications alerting you that documents are available for viewing online. Please note that confidential account information will not be sent by email. If an email notification is returned as undeliverable, your account will be reset to receive traditional paper statements and/or documents by mail. You can change your delivery preference or unsubscribe from eDelivery at any time.

Semiannual Account Statements

Transaction Confirmations

Prospectuses, Financial Reports

Annual Tax Forms 1099 and 5498

Your current email address. Royce will use this email address to send notifications to you:

EMAIL \_\_\_\_\_

**Step Nine Signature(s)**

**Be sure to sign below.** Sign exactly as your name is registered in Step One. Both owners must sign on joint accounts.

**OWNER** Check one box.

U.S. Citizen  Resident Alien Taxpayer ID Number \_\_\_\_\_ (IRS Form W-8 must be included)

**JOINT OWNER** Check one box.

U.S. Citizen  Resident Alien Taxpayer ID Number \_\_\_\_\_ (IRS Form W-8 must be included)

I am (we are) of legal age, have full capacity to make this investment, have read the Prospectus for the Fund and agree to its terms. Neither the Fund nor its transfer agent will be liable for any loss or expense for acting upon written, Phone or computer online access instructions reasonably believed to be genuine and in accordance with the procedures described in the Prospectus.

**As required by federal law, I (we) certify under penalties of perjury (1) that the Social Security or Taxpayer Identification Number provided above is correct and (2) that the IRS has never notified me (us) that I am (we are) subject to 28% backup withholding, or has notified me (us) that I am (we are) no longer subject to such backup withholding.** (Note: if part (2) of this sentence is not true in your case, strike out that part before signing.) The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

SIGNATURE OF OWNER, TRUSTEE OR CUSTODIAN \_\_\_\_\_ DATE \_\_\_\_\_

SIGNATURE OF JOINT OWNER OR CO-TRUSTEE (IF ANY) \_\_\_\_\_ DATE \_\_\_\_\_

**Mail to:**

The Royce Funds c/o DST AMS  
PO Box 219012  
Kansas City, MO 64121-9012

**Questions?**

Call (800) 221-4268