

# Mutual Fund Periodic Investment Plan

## Application

### 1 Customer Information

First Name \_\_\_\_\_ Middle Name \_\_\_\_\_ Last Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone # \_\_\_\_\_ Brokerage Account # \_\_\_\_\_

### 2 Investment Instructions

We will establish a Periodic Investment Plan based on the instructions you complete below. Please use separate applications for investments to be made on different days/months and read the current Prospectus for each fund which you intend to purchase. If the date you select falls on a weekend or holiday, the investment will be made on the next business day. If the date you select does not occur each month (i.e. 29, 30 or 31), the investment will be made on the first business day of the next month. You must have at least 2 investments per 12-month period to use this service, and you must already hold the fund in the account. **A Periodic Investment Plan cannot make the initial investment. There is a minimum investment amount of \$100 per fund.**

Total amount to be invested\* \$ \_\_\_\_\_

**Investment Choice** (Please indicate dollar amount to be invested in each fund. If the purchase is eligible for breakpoint pricing/load reduction due to Rights of Accumulation, please check off the ROA column and indicate the breakpoint level.):

\$ Amount	Mutual Fund (Describe in full, indicate symbol if known)	ROA (✓)	Breakpoint

Check month(s) in which to invest:

- January     February     March     April     May     June  
 July     August     September     October     November     December

These investments should take place on the following date of the month selected: \_\_\_\_\_ (specify 01 to 31)

beginning in: \_\_\_\_\_.

or indicate cycle:  Monthly     Quarterly     Semi-Annual

If applicable, these investments should **stop** on the following expiration date on the month selected:

\_\_\_\_\_ (specify 01 to 31) beginning in: \_\_\_\_\_.

\*Your investment amount may be less, based on transaction fees associated with the fund.

Please continue to the other side.

### 3

#### Payment Instructions

Choose **one** of the four settlement options listed:

- Will pay by check for credit within 3 days of investment trade date.**
- Debit my (our) checking/savings account through EFT/ACH system.** Requires customer(s) signature(s).

Your shares will be purchased on the date you selected. Passbook savings accounts are not eligible and your bank must be a member of the Automated Clearing House (ACH) system. Your brokerage account and your bank account must have the same registration. Please note there is a 7 business day pre-note period before the EFT link becomes active. Please attach a voided check or preprinted deposit slip from your bank account and complete the following information:

Bank Name \_\_\_\_\_

Bank Account # \_\_\_\_\_

Bank Automated Clearing House (ACH) Number (contact your bank for this information) \_\_\_\_\_

Check off type of Account:  Checking/Demand Deposit  Savings/Money Market

**Debit my (our) bank account (bank affiliated accounts only).\***

**Debit my (our) brokerage account.\***

**\*All investments, including, but not limited to, stock and bond investments in your brokerage account will be settled in the same manner as your Periodic Investment Plan.**

### 4

#### Signature

I (We) hereby authorize and request the investments to be made on my (our) account as instructed above. I (We) agree that neither this fund, nor the broker/dealer with whom this account is established, nor National Financial Services LLC (clearing and executing agent), will be liable for any loss, liability, cost, or expense for acting upon such instructions. I understand that I will not receive an immediate transaction confirmation for each investment and that the details of each transaction will be provided on a periodic statement sent to me no less than quarterly. I represent that I have read and understand the prospectus for each fund in which I have instructed you to invest on my behalf.

If my (our) account is being settled through the EFT/ACH system, I (we) hereby authorize and request National Financial Services LLC ("NFS") to make payment of amounts representing the proceeds of securities transaction(s) entered into me (us) or to secure payment for the cost(s) of said securities transaction(s) by initiating credit or debit entries to my (our) account indicated in the bank named above (Bank), and I (we) hereby authorize and request the Bank to accept any such credit or debit entries initiated by NFS to such account and to credit or debit, as requested, the same amount to such account, without responsibility for the correctness thereof or for the existence of any further authorization relating thereto. I (We) hereby ratify any telephone instructions given pursuant to this authorization and agree that NFS will not be liable for any loss, liability, cost or, expense for acting upon this authorization.

It is understood that this authorization may be terminated by me (us) at any time three days prior to any scheduled transaction by written notification received by both NFS and the Bank. Any such notification shall be effective only with respect to entries initiated after receipt of such notification and a reasonable time to act on it.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Signature of Joint Owner, (if applicable) \_\_\_\_\_ Date \_\_\_\_\_

Rep Name (Print) \_\_\_\_\_ Rep # \_\_\_\_\_

Rep Phone # \_\_\_\_\_