



## 2. Periodic Investment Plan Instructions *continued*

### FROM Instructions *Source Account*

Check **ONLY** one and provide any required information.

- Your core account investment vehicle
- Your nonretirement brokerage account *There is at least one name in common on both accounts. (Not available if the TO account is an IRA BDA or Roth IRA BDA.)*

Account Number

- A nonretirement brokerage account that you do not own *There are no names in common on both accounts. (Not available if the TO account is an IRA BDA or Roth IRA BDA.) Source Account Owner signature is required in Section 4.*

Account Number

- Your bank account via Electronic Funds Transfer (EFT) *(Not available if the TO account is an IRA BDA or Roth IRA BDA.)*

- Use EFT standing instructions on file

Line Number

*If you have multiple standing instructions, obtain the line number from your investment representative.*

**OR**

- Establish new EFT standing instructions.

*If selected, complete Bank Standing Instructions.*

**1st Party EFT Standing Instructions** *All the owners on the brokerage account are also on the bank account*

Bank standing instructions allow you to move money between your bank account and brokerage account via EFT (processed via the Automated Clearing House, "ACH"). EFT may take 4–5 business days to become active and 2–3 business days after the date the transaction is processed for funds to reach the bank or brokerage account. **Note: All of the owners on the brokerage account must also be on the bank account. You must include a copy of a voided check, deposit slip, or bank statement with this form.**

- Check one.  Checking  Savings

*Obtain the correct routing number from the bank. Different routing numbers may be used for EFT and Bank Wire transactions.*

Bank Routing Number	Bank Name
Bank Account Number	Owner(s) Name(s) Exactly as on Bank Account

### TO Instructions *Mutual Fund Investments and/or Core Account*

*Investments will be placed in your core account unless you specify mutual fund position(s) below.*

Fund Name	ROA*	Breakpoint*	WVR*	Symbol	Percent	OR	Amount
	<input type="checkbox"/>	\$			%	<b>OR</b>	\$
	<input type="checkbox"/>	\$			%	<b>OR</b>	\$
	<input type="checkbox"/>	\$			%	<b>OR</b>	\$
	<input type="checkbox"/>	\$			%	<b>OR</b>	\$
	<input type="checkbox"/>	\$			%	<b>OR</b>	\$

*continued on next page*

## 2. Periodic Investment Plan Instructions *continued*

Fund Name	ROA* <input type="checkbox"/>	Breakpoint* \$	WVR* 	Symbol	Percent %	<b>OR</b>	Amount \$
Fund Name	ROA* <input type="checkbox"/>	Breakpoint* \$	WVR* 	Symbol	Percent %	<b>OR</b>	Amount \$
Fund Name	ROA* <input type="checkbox"/>	Breakpoint* \$	WVR* 	Symbol	Percent %	<b>OR</b>	Amount \$
Fund Name	ROA* <input type="checkbox"/>	Breakpoint* \$	WVR* 	Symbol	Percent %	<b>OR</b>	Amount \$
Fund Name	ROA* <input type="checkbox"/>	Breakpoint* \$	WVR* 	Symbol	Percent %	<b>OR</b>	Amount \$

\* **Note to Broker/Dealer:** Ensure all applicable Letters of Intent (LOI) and Rights of Accumulation (ROA) and Sales Waivers (WVR) have been entered to the customer's account on the brokerage system.

## 3. Frequency Schedule

We may sometimes process investments later than the date(s) you request. Examples include investments (or contributions) that are scheduled for a day when the stock market is closed (such as a holiday or weekend day) or for a day that doesn't exist in every month (29th–31st). We generally will process the investment on the next business day.

A. Provide the frequency for the movement of funds coming from your source account. If this is an IRA, the funds will move to your core account prior to investing in other mutual funds. If you want the frequency schedule from your core account to your mutual fund investments to be the same, complete this section only. If you want a different frequency schedule for the mutual fund investments, also complete Section B below.

Provide the frequency. ▶  Monthly  
 Quarterly  
 Custom Months

Check at least 2 months. ▶  Jan  Feb  Mar  Apr  May  Jun  
 Jul  Aug  Sep  Oct  Nov  Dec

Provide the date of the first investment (Effective Date).  
 Effective Date MM DD YYYY

If you are establishing EFT bank standing instructions with this form, your periodic investments cannot begin until after the EFT bank standing instructions are established.

Provide the date of the final plan investment (End Date). **Optional.**  
 End Date MM DD YYYY

**NOTE:** The end date should be a date AFTER the last intended investment.

B. **Optional** — Provide the frequency for the movement of funds from your core account to the mutual fund investments listed in Section 2 ONLY if different from the frequency schedule indicated above.

Provide the frequency. ▶  Monthly  
 Quarterly  
 Custom Months

Check at least 2 months. ▶  Jan  Feb  Mar  Apr  May  Jun  
 Jul  Aug  Sep  Oct  Nov  Dec

Provide the date of the first investment (Effective Date).  
 Effective Date MM DD YYYY

**NOTE:** The end date should be a date AFTER the last intended investment.

Provide the date of the final plan investment (End Date). **Optional.**  
 End Date MM DD YYYY

## 4. Signature(s) and Date(s) *Form cannot be processed without signature(s) and date(s).*

By signing below, you:

- Authorize and request National Financial Services LLC ("NFS"), or its agents, to secure payment of amount indicated above to be invested by you by initiating debit entries to your account indicated in the bank named above ("Bank").
- Authorize and request the Bank to accept any such debit entries initiated by NFS or its agents, and to credit such amount to your account indicated on this form.
- Acknowledge that contributions made via EFT to Traditional and Roth IRAs are credited and reported as current year contributions and that contributions made via EFT to SEP-IRAs are credited and reported as employer contributions, and you will not hold NFS responsible for the correctness of such contributions.
- Indemnify Fidelity Management Trust Company and NFS, and their officers directors, employees, agents, affiliates shareholders, successors, assigns, and representatives, from any liability for acting upon the authorization provided for these instructions.
- Understand that a trade confirmation will not be delivered to you for each investment in a periodic plan and this activity can be reviewed on your statement.
- Acknowledge this authorization may be terminated by you at any time by written notification received by NFS or your Broker/Dealer and any such notification shall be effective only after receipt of such notification and a reasonable time to act on it.
- Understand that these instructions may be purged from your account if the instructions have not been used for an extended period of time.

**Either the account owner(s) or authorized individual(s) of the account receiving the periodic investments must sign and date.**

Print Account Owner/Authorized Individual Name <i>First, M.I., Last</i>	
Account Owner/Authorized Individual Signature	Date <i>MM - DD - YYYY</i>
<b>SIGN</b> ▶	▶

Print Additional Account Owner/Authorized Individual Name <i>First, M.I., Last</i>	
Additional Account Owner/Authorized Individual Signature	Date <i>MM - DD - YYYY</i>
<b>SIGN</b> ▶	▶

**If the source of the periodic investments is an account that you do not own, your Broker/Dealer may require that the account owner of the source account must sign and date.**

Print Source Account Owner Name <i>First, M.I., Last</i>	
Source Account Owner Signature	Date <i>MM - DD - YYYY</i>
<b>SIGN</b> ▶	▶