

Phone: 800.872.0444 | Fax: 212.486.2784

Account Number									

## **Periodic Investments**

Use this form to establish, update, or delete a periodic investment plan that allows you to regularly invest in your core account investment vehicle ("core account") or in mutual fund(s) in a nonretirement account or a Premiere Select® Traditional, Roth, Rollover or SEP-IRA ("IRA"). This form can also be used to establish a periodic investment plan from your core account to a mutual fund(s) in your nonretirement account, IRA or Premiere Select IRA Beneficiary Distribution Account ("BDA"), or Roth IRA BDA. Do NOT use this form for SIMPLE IRAs or Retirement Plan accounts. Type on screen or fill in using CAPI AL letters and black ink. If you need more room for information or signatures, use a copy of the relevant page.

#### Helpful to Know

- Complete a separate form for each account for which you would like to establish a plan.
- A periodic investment typically involves two separate transactions: a debit to a source account ("FROM Instructions") and a purchase in the receiving mutual funds ("TO Instructions"). In some cases, the purchase will go forward even if there are insufficient funds available in the source account and may cause a debit balance in the receiving account.
- You must already have an investment in any mutual fund in which you would like to periodically invest.
- Contributions made via EFT to Traditional, Roth or Rollover IRAs are Current Year Contributions.
- Contributions made via EFT to SEP-IRAs are Employer Contributions.
- For SEP-IRAs, contributions made via EFT are appropriate only for sole proprietors who will monitor the deposits to avoid making contributions beyond their deductible limit.
- This form cannot be used to make contributions to IRA BDAs or Roth IRA BDAs. If this account is an IRA BDA or Roth IRA BDA, this form may be used ONLY to establish a periodic investment plan from your core account to a mutual fund(s).

- All periodic investments must meet mutual fund eligibility and minimum investment requirements as described in the applicable fund prospectus or fact kit. You cannot invest in accounts that are restricted.
- For IRAs, refer to the Premiere Select IRA Contribution Guide to find the applicable maximum annual contribution limit. You are responsible for tracking your contributions for all IRAs to which you are contributing, and if you exceed the maximum IRA contribution limit, you may incur a penalty. If you exceed the maximum annual contribution limit, your periodic investments may be suspended for the remaining calendar year. If your periodic investments are suspended prior to year-end, they will automatically resume in January of the following calendar year.
- If you are investing in a mutual fund, the investment amount may be less, based on transaction fees associated with the fund. Check with your investment representative for this information.
- Standing instructions that are added to your account may be purged from the system due to inactivity after an extended period of time.
- If establishing 1st Party EFT instructions, a copy of a voided check, deposit slip or bank statement must be included with this form.

### 1. Account Owner(s)

If this is a business/trust account, provide entity name here and authorized individual name/signature in Section 4.

First Name	Middle Name	Last Name
First Name	Middle Name	Last Name
		<u> </u>
Entity Name if applicable		

#### 2. Periodic Investment Plan Instructions

2. Periodic In	vestment Plan Instructions		
Type of Request			
Check one.	<ul> <li>☐ Establish a new periodic investment plan.</li> <li>☐ Change an existing periodic investment plan.</li> <li>☐ Delete an existing periodic investment plan.</li> </ul>	Plan ID	If you have multiple plans and are changing or deleting an existing plan, include the plan ID number. Obtain the plan ID number from your investment representative.
AMOUNT of Periodic Inv	restments		
Provide the amount to be invested each period.	Investment Amount each period  \$		continued on next page

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# 2. Periodic Investment Plan Instructions continued

FROM Instructions Source	Account									
Check ONLY one and provide any required information.	Your core account Your nonretiremer if the TO account	nt brokerage ac	count <i>There is a</i>	t least one nam )	ne in common on bo	oth accounts. (Not available				
	Account Number	Account Number								
[						mmon on both accounts. Iwner signature is required				
	Account Number									
]	Your bank account	via Electronic F	unds Transfer (EF	T) (Not availab	le if the TO account	is an IRA BDA or Roth IRA BDA.)				
	Use EFT standi	ng instructions	on file Line Nur	nber		If you have multiple standing instructions, obtain the line number from your investment representative.				
If selected, ▶	Establish new E	EFT standing in	structions.			,				
complete Bank Standing Instructions.	1st Party EFT Standing Instructions All the owners on the brokerage account are also on the bank account									
Check one. ▶	(processed via the business days after All of the owners voided check, dep	Automated Cle the date the tr on the brokera	aring House, "Al ansaction is proc age account mus	CH"). EFT may essed for funds t also be on th	take 4–5 business c s to reach the bank	d brokerage account via EFT days to become active and 2–3 or brokerage account. <b>Note:</b> ou must include a copy of a				
Obtain the correct routing	Bank Routing Number		Bank Name							
number from the bank. Different routing numbers										
may be used for EFT and Bank Wire transactions.	Bank Account Number				s on Bank Account					
TO Instructions Mutual Fur										
Investments will be placed in Fund Name		unless you spec		Symbol	W. Percent	Amount				
Tuna Name		S \$	VVVI	Зупрог	% O					
Fund Name	1	ROA* Breakpoint*	WVR*	Symbol	Percent	Amount				
		□   \$			<b> </b>	*				
Fund Name		ROA* Breakpoint*	WVR*	Symbol	Percent	Amount				
Fund Name		SOA* Breeke sint*	140 (D+	Cumbal		\$				
Fund Name		ROA* Breakpoint*	WVR*	Symbol	Percent %	Amount \$				
Fund Name		ROA* Breakpoint*	WVR*	Symbol	Percent	Amount				
		□ <b> </b> \$			<u></u> %					

continued on next page

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## 2. Periodic Investment Plan Instructions continued

Fund Name	R	OA* Brea	akpoint*	WVR*	/R* Symbol		Percent		Amount			
		□  \$				1 1	%	OR	\$			
Fund Name	R	OA* Brea	akpoint*	WVR*	Symbol	ļ. l	Percent	_	Amount		•	
	]	□  \$					%	OR	\$			
Fund Name	R	OA* Brea	akpoint*	WVR*	Symbol	ļ. l	Percent	_	Amount		•	
		□  \$					%	OR	\$			
Fund Name	R	OA* Brea	akpoint*	WVR*	Symbol		Percent	_	Amount		•	
	]	<b>□</b>  \$				1 1	%	OR	\$			
Fund Name	R	OA* Brea	akpoint*	WVR*	Symbol		Percent	_	Amount		•	
	]	<b>□</b>  \$				1 1	%	OR	\$			
* Note to Broker/Dealer: been entered to the customark.  3. Frequency	omer's account on the			Rights	of Accu	mulation (R	POA) and Sa	les W	/aivers (WVI	R) have	been	have
We may sometimes proces a day when the stock mark will process the investment	et is closed (such as a h	noliday										
<b>A.</b> Provide the frequency for prior to investing in oth same, complete this sec	er mutual funds. If you	want th	he frequency sched	lule fi	om your	core accou	int to your n	nutua	al fund inve	stments	to be	the
Provide the frequency. <b>&gt;</b>	Monthly											
, .	Quarterly											
	Custom Months											
Check at least 2 months. ▶		Feb Aug	☐ Mar ☐ A	•	☐ Mag							
Provide the date of the first investment (Effective Date).	Effective Date MM DD YYYY		If you are esta your periodic instructions are	nvest	ments c							
Provide the date of the final plan investment (End Date). Optional.  NOTE: The end date should be a date AFTER the last intended investment.												
B. Optional — Provide the if different from the free				r core	account	t to the mut	ual fund inv	estm	ents listed i	n Sectio	on 2 C	 )NLY
Provide the frequency. <b>&gt;</b>	☐ Monthly ☐ Quarterly ☐ Custom Months											
Check at least 2 months. ▶		Feb Aug	☐ Mar ☐ A☐ Sep ☐ C	•	☐ Mag	=						
Provide the date of ► the first investment (Effective Date).	Effective Date MM DD YYYY											
Provide the date of the final plan investment (End Date). <b>Optional.</b>	End Date MM DD YYYY		<b>NOTE:</b> The er	id dai	e should	d be a date	AFTER the I	ast ir	ntended inv	estmen	t.	

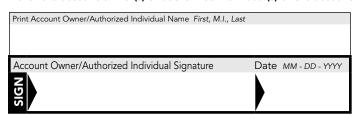
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#### 4. Signature(s) and Date(s) Form cannot be processed without signature(s) and date(s).

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 confi mation 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 eceived by NFS or your Broker/Dealer and any such notificatio shall be effective only after receipt of such notification and a easonable 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.





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.



National Financial Services LLC, Member NYSE, SIPC

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