Clear Form

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 CAPITAL 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

Entity Name *if applicable*

2. Periodic Investment Plan Instructions

Type of Request

Check one.

☐ Establish a new periodic investment plan.
☐ Change an existing periodic investment plan.
☐ Delete an existing periodic investment plan.

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 Investments

Provide the amount to be invested each period.

Investment Amount *each period*

$.

continued on next page

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

If selected, complete Bank Standing Instructions. ▶ ☐ Establish new EFT 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		Amount
	☐	$			%	OR	$.
	☐	$			%	OR	$.
	☐	$			%	OR	$.
	☐	$			%	OR	$.
	☐	$			%	OR	$.

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2. Periodic Investment Plan Instructions *continued*

Fund Name	ROA*	Breakpoint*	WVR*	Symbol	Percent		Amount
	☐	$			%	OR	$.
	☐	$			%	OR	$.
	☐	$			%	OR	$.
	☐	$			%	OR	$.
	☐	$			%	OR	$.

* ***Note to Broker/Dealer:*** *Ensure all applicable Letters of Intent (LOI) and Rights of Accumulation (ROA) and Sales Waivers (WVR) have been 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*

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.*

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 *First, M.I., Last*	Print Additional Account Owner/Authorized Individual Name *First, M.I., Last*

Account Owner/Authorized Individual Signature	Date *MM - DD - YYYY*	Additional Account Owner/Authorized Individual Signature	Date *MM - DD - YYYY*
SIGN		SIGN	

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 *First, M.I., Last*

Source Account Owner Signature	Date *MM - DD - YYYY*
SIGN	