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.

### 1. Account Owner(s)

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

ccount Owner Name
Its IO No of the
dditional Owner Name if applicable

2. Periodic Investment 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	vestments						
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	ce 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 E	lectr	onic Funds Tran	nsfer (EFT) (	Not available if	the TO account	is an IRA BDA or Roth IRA BDA.)	
	Use EFT standing in	struc	ctions on file.	Line Number			If you have multiple standing instructions, obtain the line number from your investment representative.	
If selected, ▶ complete Bank Standing Instructions.	d, ▶ ☐ Establish new EFT standing instructions.							
	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.							
Check one.	e. ▶ ☐ Checking ☐ Savings							
Obtain the correct routing	Deals Posting Number							
number from the bank. Different routing numbers								
may be used for EFT and Bank Wire transactions.	Bank Account Number Owner(s) Name(s) Exactly as on Bank Account					on Bank Account		
TO Instructions Mutual F	und Investments and/or Co	re Ac	count					
<u> </u>	d in your core account unles							
Fund Name		ROA*	Breakpoint*	Syn	lodn	Percent %	Amount \$	
Fund Name			Breakpoint*	Syn	nbol	Percent	Amount	
			\$				\$       .	
Fund Name			Breakpoint*	Syn	nbol	Percent %	Amount \$	
Fund Name			Breakpoint*	Syn	nbol	Percent	Amount	
			\$			<u>%</u>	\$	
Fund Name			Breakpoint*	Sym	nbol	Percent	Amount	
		Ш	\$			%	\$       .	

continued on next page

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## 2. Periodic Investment Plan Instructions continued

Fund Name	ROA*	Breakpoint*	Symbol	Percent		Amount
		\$			% OR	\$
Fund Name		Breakpoint*	Symbol	Percent		Amount
		\$		(	% OR	\$
Fund Name		Breakpoint*	Symbol	Percent		Amount
		\$			OR	\$
Fund Name		Breakpoint*	Symbol	Percent		Amount
		\$			OR	\$
Fund Name		Breakpoint*	Symbol	Percent		Amount
Tulid Ivallie		\$	Symbol		OR	
		4			%	\$         .
* Note to Broker/Dealer: Ensure all applicable Lette account on the brokerage system.	ers of	Intent (LOI) and Rights	of Accumulation (R	OA) have	been e	entered to the customer's
3. Frequency Schedule						
We may sometimes process investments later than the a day when the stock market is closed (such as a holi will process the investment on the next business day.	day o					
<b>A.</b> Provide the frequency for the movement of funds prior to investing in other mutual funds. If you wa same, complete this section only. If you want a di	nt the	frequency schedule fr	om your core accou	nt to your	mutua	al fund investments to be the
Provide the frequency. ▶ ☐ Monthly						
Quarterly						
☐ Custom Months						
Custom Months						
Check at least 2 months. ► ☐ Jan ☐ Fe ☐ Jul ☐ Au		☐ Mar ☐ Apr ☐ Sep ☐ Oct	☐ May ☐ Jur ☐ Nov ☐ De			
Provide the date of Fffective Date MM DD YYYY		If you are establishir	ng FFT bank standir	na instructi	ons w	ith this form
the first investment (Effective Date).		your periodic invest instructions are esta	ments cannot begin			
Provide the date of the						
Provide the date of the final plan investment (End Date). <b>Optional.</b>						
B. Optional — Provide the frequency for the moven if different from the frequency schedule indicated			account to the mut	ual fund ir	vestm	ents listed in Section 2 ONLY
' '	abov	c.				
Provide the frequency. ▶ ☐ Monthly						
Quarterly						
☐ Custom Months						
Check at least 2 months. ▶ ☐ Jan ☐ Fe	h	☐ Mar ☐ Apr	☐ May ☐ Jur	,		
☐ Jul ☐ Au		Sep Oct	Nov De			
Provide the date of ► Effective Date MM DD YYYY						
the first investment (Effective Date).						
Provide the date of the Find Date MM DD YYYY						
final plan investment (End Date). Optional.						

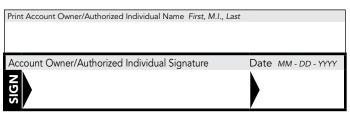
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#### 4. Signature(s) and Date(s) Form cannot be processed without signature(s) and date(s).

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.
- 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.

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



Print Additional Account Owner/Authorized Individual Name First, M.I., Last
· ·
A Live LA COMPANIA DE LA COMPANIA DEL COMPANIA DEL COMPANIA DE LA
Additional Account Owner/Authorized Individual Signature Date MM - DD - YYYY
<u>u</u>

If the source of the periodic investments is an account that you do not own, 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	

National Financial Services LLC, Member NYSE, SIPC

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