

DEFINITIONS AND USAGE OF FORMS

Available Digital Forms

Account Options Form

Add or change services such as Distribution Options, Automatic Asset Builder, Auto Exchange and Banking privileges on one or more of your accounts. The form must be signed by all registered owners.

Add/Change or Removal of Dealer Authorization Form

Shareholders that elect to change their Broker/Dealer of record can complete the Add/Change or Removal of Dealer Authorization Form. The form must be signed by all registered owners.

Address Change Form

Change the address of record on your account(s). The form must be signed by all registered owners.

Beneficiary Designation Form

Designate or change beneficiaries on your account(s) for IRAs or Non-IRAs Individual or Joint Tenant Transfer on Death (TOD) accounts. The form must be signed by all registered owners.

Certification of Durable Power of Attorney Form

Provide and attest to the authenticity of the Durable Power of Attorney document for one or more accounts. The certification confirms that the document is a true copy and, there is no knowledge or awareness of any revocation, termination, or facts suggesting the same due to death or other reasons as of the present date. The form must be signed by all registered owners.

Cost Basis Election Form

Elect or change the cost basis method for one or more accounts.

It's important to note that money market funds and retirement accounts are exempt from cost basis reporting and should not be included on this form.

Name Change Form

Change the registration on an account because of a legal name change. The form must be signed by all registered owners.

Redemption Authorization Form

Request a redemption from your non-retirement account. This form may also be used to redeem a non-retirement account due to the passing of the shareholder(s). The form must be signed by all registered owners or authorized parties.

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Request For Information Form

Request specific information about an account(s), such as determining beneficiaries, obtaining balance information, or obtaining account-specific documents on an account(s). To complete the form, all relevant account information must be available, and in some cases, a copy of a driver's license and any relevant legal documents may be required to be attached before submitting the form.

IRS Form W-9

Add, change or certify the Social Security Number or Taxpayer Identification Number on an account. The form must be signed by an authorized party.

UTMA/UGMA Change of Registration Form

Change your account registration from a Uniform Transfers to Minors Act (UTMA) or Uniform Gifts to Minors Act (UGMA) to an individual or joint account held in the name of the former minor.