

Account Number



Periodic Earnings Withdrawal Request Nonretirement

Use this form to establish, change, or delete an earnings withdrawal plan for your nonretirement account held through National Financial Services LLC ("NFS"). Use one form for each account.

Read the attached Customer Instructions and Terms and Conditions before completing this form. 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 and include the account number, your signature and the date.

1. Account Owner(s)

If this is a business/trust account, provide entity name here and authorized individual name(s)/signature(s) in Section 6.	First Name	Middle Name	Last Name
	Additional Owner, Company, or Trust Name if applicable		

2. Type of Request *Choose one.*

- Establish a new earnings withdrawal plan
- Fill out ONLY sections with changes. Change an existing earnings withdrawal plan
- Skip to Section 6. Delete an existing earnings withdrawal plan

3. Dividend, Interest and Capital Gains Instructions *Skip this section if you do not want to change your existing instructions.*

Withdrawals will be made from the core account investment vehicle ("core account") based on the existing Dividend, Interest and Capital Gains Instructions on your account unless you check this box to change the instructions to pay all eligible dividends and capital gains in cash.

- Change existing Dividend, Interest and Capital Gains Instructions to pay ALL mutual funds' dividends and capital gains and ALL eligible securities' dividends, interest and capital gains in cash.

4. Payment Method *Choose one. Refer to instructions for default provisions if choices in this section are left blank.*

Cash Disbursements to a Nonretirement Account

<input type="checkbox"/> Account Number

Check Disbursements

- Check A or B. A. Check to name and address of record
- B. Check with special instructions as follows:

If B is selected, complete options 1, 2, or 3.

If using standing instructions, check one.

- 1. Use standing instructions on file
- 1st Party Check standing instructions Paid to the name(s) on account and sent to mailing address of record.
- 3rd Party Check standing instructions Paid and/or mailed to an alternate payee and/or address.

Line Number

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

OR

continued on next page



4. Payment Method *continued*

Avoid any account number or SSN that compromises a customer's identity. If needed, use the Memo and Check Stub Information fields.

2. Establish new standing instructions For 1st Party Check standing instructions, complete only the Memo and Check Stub Information, as applicable.

Payee		
Attention <i>maximum 32 characters total including "Attn:"</i>	OR	Care of <i>maximum 32 characters total including "C/O"</i>
Attn:		C/O
Address		
City	State/Province	Zip/Postal Code

Information provided in the Memo field will print on the check but will not appear visible in the window of the envelope.

Memo <i>maximum 30 characters</i>
Check Stub Information <i>maximum 100 characters</i>

OR

3. Alternate Instructions *Not applicable when using standing instructions.*

Avoid any account number or SSN that compromises a customer's identity.

Payee		
Attention <i>maximum 32 characters total including "Attn:"</i>	OR	Care of <i>maximum 32 characters total including "C/O"</i>
Attn:		C/O
Address		
City	State/Province	Zip/Postal Code

Electronic Funds Transfer (EFT)

Check one. Use standing instructions on file

Line Number

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

OR

Establish new standing instructions

Complete this section if establishing new Standing Instructions. **Bank Standing Instructions**

Bank Standing Instructions allow you to move money between your brokerage account and a bank account via EFT (processed via the Automated Clearing House, "ACH"). EFT may take 4-5 business days to become active. Allow 2-3 business days after the date the withdrawal is processed for funds to reach the bank account. **If establishing 1st Party EFT, a voided check, deposit slip, or statement must be included with this form.**

Check one. Checking Savings

Obtain the correct routing number from the bank.

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

5. Frequency of Payments

- Check one.
- Daily (D) Payments will be made every business day. You cannot request checks sent by mail with this option.
 - Weekly (W) Payments will be made every Friday.
 - Weekly-PLUS (F) Payments will be made every Friday AND on the first business day following the 1st, 15th and 22nd of each month.
 - Monthly (M) Payments will be made on the last Friday of each month.
 - Semimonthly (S) Payments will be made on the second and last Friday of each month.
 - Quarterly (Q) Payments will be made on the last Friday of March, June, September and December.

If you check this box, enter at least one day and select at least one month option below.

- Custom Day(s)/Month(s) (X):

Day DD	Day DD	Day DD

- Every month **OR** Jan Feb Mar Apr May Jun
 Jul Aug Sep Oct Nov Dec

Provide the date of the final plan withdrawal (End Date). Optional.

End Date MM DD YYYY

6. 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") to make the above earnings withdrawals from the account indicated on this form.
- Certify that the information supplied on this form is complete and accurate.
- Certify that you have carefully read, fully understand, and agree to comply with the **Customer Instructions and Terms and Conditions** attached to this **Earnings Withdrawal Request form**.
- Understand and agree that NFS cannot confirm the account registration at the receiving bank or financial institution.
- Indemnify NFS, and their officers, directors, employees, agents, affiliates, shareholders, successors, assigns and representatives from any liability in connection with following the instructions in this form.

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

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

Periodic Earnings Withdrawal Request Nonretirement Customer Instructions and Terms and Conditions

The attached form should be used to request periodic withdrawals of dividends, interest and/or capital gains ("earnings") from your nonretirement Brokerage Account ("account") or to change an existing earnings withdrawal plan. If you wish to establish a periodic earnings withdrawal plan from more than one account, you must complete a separate form for each account.

If you have any questions, consult your Broker, Financial Advisor or Investment Professional ("investment representative").

Completing the Form

Write the account number in the boxes in the upper right-hand corner of the form.

1. Account Owner(s)

Complete this section as appropriate.

2. Type of Request

If establishing/changing/deleting an earnings withdrawal plan, check the appropriate box.

3. Dividend, Interest and Capital Gains Instructions

The earnings on certain mutual funds and/or eligible securities will be distributed to you based on the Dividend, Interest and Capital Gains Instructions currently in effect for your account, or you may elect to change your instructions to pay ALL mutual funds' dividends and capital gains and ALL eligible securities' dividends, interest and capital gains in cash to your core account investment vehicle ("core account") to be distributed to you.

- The earnings that are paid in cash and credited to your core account will be distributed to you from your core account in accordance with the frequency and payment method that you select in Sections 4 and 5, respectively.
- If you acquire new positions in your account after you have established the earnings withdrawal plan, the earnings on those new positions will be paid in cash to your core account and will be included in the earnings withdrawal plan unless or until new Dividend, Interest and Capital Gains Instructions are established on your account by your Broker/Dealer.
- If you terminate your earnings withdrawal plan, your Dividend, Interest and Capital Gains Instructions in effect at that time will remain in effect unless and until new instructions are established on your account by your Broker/Dealer.
- **The minimum earnings amount per check payment that can be distributed to you by check is \$25.** If the earnings balance of your core account is less than \$25 on any scheduled payment date and you have elected to have payments made by check disbursement, the earnings withdrawal will not be processed and any earnings will accrue in your core account to be distributed at the next scheduled payment date on which the earnings balance is at least \$25.
Note: There is no minimum earnings amount for payments that are distributed to a nonretirement brokerage account or via Electronic Funds Transfer or Intra-Bank Payment.
- **The maximum earnings (dividends, interest and capital gains) amount that can be distributed to another brokerage account is \$99,999.99.** If the earnings balance of your account is greater than \$99,999.99 on any scheduled payment date and you have elected to have payments distributed to another brokerage account, a payment will not be processed and the balance of the earnings will accrue in your account.

4. Payment Method

If no payment method is selected, your cash withdrawals will be made by check and sent to your mailing address of record (the second option described below).

If a check issued to you in connection with any automatic withdrawals or automatic distributions remains uncashed and outstanding for at least six months, you authorize and instruct NFS to cancel the check and return the underlying proceeds to you by depositing the proceeds into your core account.

Cash Disbursements to a Nonretirement Account

If you want cash distributed to a new or existing nonretirement account, provide the account number of the nonretirement account. An application must be completed to establish a new nonretirement brokerage account. If the nonretirement account is restricted or purged at the time of the withdrawal, the payment method will default to check to the address of record.

Check Disbursements

- A. Check to name and address of record.** Checks will be made payable to the account registration and mailed to the mailing address of record on this account. This payment method is not available if you select daily in Section 5.
- B. Check with special instructions.** Checks will be paid to an alternate payee and/or mailed based on special instructions. Check this box and provide complete instructions, choosing one of the three options listed. This payment method is not available if you select daily in Section 5.
- 1. Use standing instructions on file.** Check the appropriate box for 1st Party Check standing instructions or 3rd Party Check standing instructions and provide the line number if you have more than one set of standing instructions.
 - 1st Party Check. If you would like the checks paid to you using standing instructions for the memo section or on the check stub, check this box.
 - 3rd Party Check. If you would like the checks paid to a different name using standing instructions, check this box.
 - 2. Establish new standing instructions.** Check this box to establish new standing instructions which can be used outside of this earnings withdrawal plan. Complete all applicable fields.
 - 3. Alternate Instructions.** If you would like the checks paid to a different name or address that you have not already provided as standing instructions, check this box and provide complete instructions.

Electronic Funds Transfer (EFT)

If you would like the withdrawals to be deposited directly to your bank via EFT, you must have EFT instructions on your account. Provide the bank instructions in this section if you need to establish the standing instructions. **Note:** EFT may take 4–5 business days to become active. Allow 2–3 business days after the date the withdrawal is processed for funds to reach the bank account. If you have multiple sets of standing instructions, provide the line number of the specific set of instructions, as it pertains to this situation. The line number can be obtained from your investment representative.

5. Frequency of Payments

Your earnings withdrawal plan will be activated in accordance with your instructions after this form is received in good order by NFS. You may specify an end date for taking earnings withdrawals by providing the Month and Year of the final plan withdrawal. You may choose one of the following frequency schedules in the Frequency of Payments section of the form:

Daily Payments will be scheduled to pay each business day. **Note:** Daily payments cannot be made by check. When selecting this frequency you may select ONLY the IBP or EFT option in the Payment Method section of this form.

Weekly Payments will be scheduled to pay on the Friday of each week.

Weekly-PLUS Payments will be scheduled to pay on Friday of each week AND on the first business day following the 1st, 15th, and 22nd of each month.

Monthly Payments will be scheduled to pay on the last Friday of each month.

Semimonthly Payments will be scheduled to pay on the second and last Friday of each month.

Quarterly Payments will be scheduled to pay on the last Friday of March, June, September and December.

Custom Day(s)/Month(s) You may request up to three specific date(s) and the specific month(s) to schedule your payments.

- If the scheduled first payment date falls on a weekend or holiday, payment will generally be made on the following business day — any subsequent scheduled payment dates that fall on a weekend or holiday will generally be made on the previous business day.
- Earnings withdrawal payments scheduled to pay out on the 29th, 30th, or 31st that fall in a month that has less days will be paid out on the last business day of the month.

6. Signature(s) and Date(s)

Before signing this **Periodic Earnings Withdrawal Request** form, carefully read the **Brokerage Account Customer Agreement** as well as all sections of this form and attached **Customer Instructions and Terms and Conditions**.