

Brokerage Account Earnings Distribution Request Form

Customer Instructions, Terms and Conditions

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

Please read these Customer Instructions, Terms and Conditions carefully before completing the attached form. If you have any questions, please consult your Broker, Financial Advisor or Investment Professional ("investment representative").

- Write your account number in the boxes in the upper right-hand corner of the form.
- If changing/establishing an earnings distribution plan, please check the appropriate box.

1 Account Information Please complete this section as appropriate.

2 Earnings Distribution Instructions You may elect to have the earnings on certain mutual funds and/or eligible stock distributed to you based on the Dividends, Interest and Capital Gains Account Service Instructions ("Account Service Instructions") currently in effect for your account, or you may elect to change your Account Service Instructions to pay ALL mutual fund dividends and capital gains and ALL eligible stock dividends in cash to your account to be distributed to you. If you do not make a choice on the form, your earnings distributions will be paid to you based on the Account Service Instructions currently in effect for your account (option A).

- The earnings that are paid in cash and credited to your account will be distributed to you in accordance with the frequency and payment method that you select in Sections 3 and 4 respectively.
- If you acquire new positions in your account after you have established the earnings distribution plan, the earnings on those new positions will be paid in cash to your account and will be included in the earnings distribution plan unless or until new Account Service Instructions are established on your account by you or your Broker/Dealer.
- If you terminate your earnings distribution plan, your Account Service Instructions in effect at that time will remain in effect unless and until new instructions are established on your account by you or 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 account is less than \$25 on any scheduled payment date and you have elected to have payments made by check (Section 4, options B or C), the earnings distribution will not be processed and any earnings will accrue in your 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 another brokerage account or via Electronic Funds Transfer (Section 4, options A and D).
- **The maximum earnings 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 (Section 4, Option A), a distribution of only the maximum amount — \$99,999.99 — will be processed and the balance of the earnings will accrue in your account.

3 Frequency of Earnings Payments

You may choose one of the following frequency schedules in Section 3 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 payment method A or D in Section 4 of the form.
 - **Weekly** - payments will be scheduled to pay on the Friday of each week.
 - **Monthly** - payments will be scheduled to pay on the last Friday of each month.
 - **Semi-Monthly** - 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.
 - **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.
 - **Specific Date** - you may request up to three specific date(s) and the specific month(s) to schedule your payments.
- If the scheduled payment date falls on a weekend or holiday, payment will generally be made on the first or second business day following the scheduled payment date.
 - Distribution 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.

4 Payment Method

A. Distribution to another Brokerage Account If you want earnings distributed to another brokerage account, please check this box and provide the account number.

B. Mailed to your Address of Record Checks will be mailed to the mailing address of record on your account. This payment method is not available if you choose to have your earnings distributed to you daily in Section 3.

C. Paid and/or Mailed to an Alternate Address If you want checks paid to a payee other than the account owner and/or mailed to an address other than the mailing address of record, check this box and provide complete alternative payee and/or alternative address information. This payment method is not available if you choose to have your earnings distributed to you daily in Section 3.

D. Directly Deposited to your Bank or Credit Union Account, Using Electronic Funds Transfer (EFT) If you would like the distribution(s) to be deposited directly to your bank or credit union account via EFT you must have EFT instructions on your account. If your account is not currently set up for EFT, please note that it will take up to 14 days to establish EFT instructions. To add EFT instructions, complete the **Bank Information** section or attach a voided check. Once EFT is established, please allow 2-3 days after the date the distribution is processed for funds to reach your bank or credit union. In order to send your distribution via EFT the recipient bank must be a member of the Automated Clearing House.

5 Signature

Before signing the **earnings distribution request form**, please carefully read the **Brokerage Account Customer Agreement** as well as all sections of the **Brokerage Account Earnings Distribution Request Form** and attached **Customer Instructions, Terms and Conditions**. Please also print the current date neatly in block letters in the space provided.

Detach the completed earnings distribution request form and return it to your investment representative.
Keep a copy of this form with the Customer Instructions, Terms and Conditions in your files.

Account Number -



Brokerage Account Earnings Distribution Request Form

Please read the attached Customer Instructions, Terms and Conditions before completing this form.

- Check this box to **establish** a new earnings distribution plan in addition to any systematic withdrawal plan(s) you may have previously requested for the account identified above.
- Check this box if you wish to **change** an existing earnings distribution plan previously established for the account identified above.

1 Account Information

Primary Account Holder/Authorized Individual Name

Entity Name

Joint Account Holder/Authorized Individual Name

Daytime Phone Number - -

2 Earnings Distribution Instructions – Choose One:

- A.** Distribute the earnings in my account based on the Dividends, Interest and Capital Gains Account Service Instructions currently in effect for my account indicated above, in accordance with the frequency and payment methods I select in Sections 3 and 4.
- B.** Change my Dividends, Interest and Capital Gains Account Service Instructions to pay ALL mutual fund dividends and capital gains and ALL eligible stock dividends in cash to my account indicated above, and then distribute the earnings in my account in accordance with the frequency and payment method I select in Sections 3 and 4.

3 Frequency of Earnings Distribution Payments

Please read the instructions carefully for explanations of the payment frequency options listed below and choose one:

- Daily — (D) Weekly — (W) Monthly — (M)
- Semi-Monthly — (S) Quarterly — (Q) Weekly PLUS — (F)
- Specific Date — (X) , , **Indicate the month(s) for Specific Date payments by checking the appropriate box(es) below.**

Months (choose at least two — only if choosing Specific Date payments above):

- ALL or
- Jan Feb Mar Apr May Jun
- Jul Aug Sep Oct Nov Dec

4 Payment Method – Choose One:

- A.** Cash distribution(s) to another brokerage account number: -
- B.** Check(s) mailed to my address of record. (Not available for daily payments.)
- C.** Check(s) paid and/or mailed to an alternate payee and/or address. (Not available for daily payments.)

Alternate Payee Name, if applicable

Street Address

City State Zip/Postal Code -

- D.** Directly deposited to my bank or credit union account using Electronic Funds Transfer (EFT). By selecting this option and by signing the form below, I understand and agree that NFS cannot confirm the account registration at the receiving bank or financial institution. (If you do not already have EFT instructions in your account, please provide your Bank Information on the next page or attach a voided check.)



Account Number -

Brokerage Account Earnings Distribution Request Form.

Bank Information – Type of Account: <input type="checkbox"/> Checking <input type="checkbox"/> Savings (non-passbook) <input type="checkbox"/> NOW/MMDA
Bank Name <input type="text"/>
Your Bank's Routing Number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Your Bank Account Number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Your Name as it Appears on Your Bank Account <input type="text"/>

5 Signature – Please check to make sure you have completed all appropriate sections of this form, then sign and date below.

I authorize and request National Financial Services LLC (“NFS”) to make the above distribution(s) from my account indicated above. I have carefully read and fully understand and agree to comply with the **Customer Instructions, Terms and Conditions** attached to this **Earnings Distribution Request Form**.

Signature of: Primary Account Holder, Joint Account Holders, Trustees, Authorized Individuals

Signature Date

Signature Date