



MUTUAL FUND PROSPECTUS RECEIPT AND REPLACEMENT FORM

Account Holder Name: _____ Account Number: _____

ACKNOWLEDGEMENT OF PROSPECTUS RECEIPT

I hereby acknowledgment receipt of a prospectus for each of the following investments:

1. _____ 2. _____

I understand that I can only rely on statements contained in the prospectus for comparing and evaluating these investments. I am aware of the risk factors involved in the above investment(s) as well as any front end or deferred sales charges, expenses and any applicable break points (investment amounts at which the level of sales charges is reduced) and the rights of accumulation (aggregate levels of investment that may qualify for lower sales charges).

INVESTMENT REPLACEMENT AUTHORIZATION

I hereby acknowledgement and authorize the liquidation, redemption, switch or exchange the following investments:

Original Investment Name/Symbol: _____

Bought from Representative: Y _____ N _____

Amount Switched: _____

Years Owned: _____

Charges/loads of Original Purchase: \$ _____

Exit Loads & Charges: _____

I understand that mutual funds are generally utilized as longer term investments. I am aware and, my Representative has reviewed with me, that I may have paid or may be subject to a fee or charge on my original investment(s) and that I may be subject to new fees and charges with the replacement investment(s). I understand that my existing investment may offer a free exchange or withdrawal program and that liquidation or redemption amount may be subject to income taxes.



I am switching my investment(s) for the following reason(s): *(Check all that apply)*

☐ Change of investment objectives

☐ Seeking improved performance

☐ Seeking improved account service

☐ Estate/Tax Planning

☐ Account consolidation

☐ Investment diversification

Other: _____

Original investments identified on the reverse side were switched to the following investments:

Name of fund(s): _____ Symbol(s): _____

Total Amount Invested \$ _____

Total amount of front end load to purchase new/replacement mutual funds: \$_____

Clearly state all of the reasons that the proposed change in investment assets is in the customer's best interest.

Time horizon and purpose of the investment:_____

Surrender charges on new investment:

Year 1___% 2___% 3___% 4___% 5___% 6___% 7___% 8___% 9___% 10___%

Registered Representative Signature

Print Name

Date

Principal Approval

Print Name

Date

Account Holder Signature

Print Name

Date