



Questions? Call our National Service Center at
1-800-747-3942 or visit us at [SecurityBenefit.com](https://www.SecurityBenefit.com).

Security Benefit Advisor Mutual Fund Program Traditional and Roth IRA Enrollment Form

Complete the entire form to establish your account. Your financial professional can assist you in completing this form.

Step 1 – Select Purchase Option

This section of the enrollment form should be completed with the assistance of your Financial Professional.

Select **ONLY ONE** of the three options below. Refer to the Custodial Agreement for a complete explanation of the options.

☐ Option 3

☐ Option 4

Rights of Accumulation, Letter of Intent and Exclusive Transfer Offer can be used in combination.

☐ **Rights of Accumulation**

This account qualifies for rights of accumulation or reduced purchase load as described in the Custodial Agreement. Qualifying relationships to the account holder include self, spouse, and children under the age of 21. Please link accounts with the following Social Security Numbers:

<hr/>	<hr/>
<hr/>	<hr/>

☐ **Letter of Intent**

This account qualifies for a purchase load discount by committing to purchase the specified amount below into this account. It is the client intent to purchase within a 13-month period an amount at least equal to:

☐ \$50,000 ☐ \$100,000 ☐ \$250,000 ☐ \$500,000 ☐ \$1,000,000 (if you intend to invest \$1,000,000 or more, the period is 36 months.)

☐ **Exclusive Transfer Offer**

All transfers to the account will be applied with no front end sales charge. Please see **Advisor Mutual Fund Program-Exclusive Transfer Offer** flier for additional details. This offer is only available for external transfers or rollovers to Security Benefit. The transaction must meet or exceed \$50,000.00.

Step 2 – Provide Account Information

Select **ONLY ONE** of the following account options.

☐ Traditional IRA ☐ Roth IRA ☐ Beneficiary IRA ☐ Beneficiary Roth IRA

Step 3 – Provide Personal Information

Participant Name _____ ☐ Male ☐ Female
First _____ MI _____ Last _____

Social Security Number _____ **Date of Birth** _____ **Marital Status** ☐ Married ☐ Single
_____ (mm/dd/yyyy)

Mailing Address
Line 1 _____ Line 2 _____
City _____ State _____ Zip Code _____

Residential Address
Line 1 _____ Line 2 _____
City _____ State _____ Zip Code _____

(A Residential Address is required if the Mailing Address is different than the Residential Address or is a PO Box.)

Cell Phone Number _____ **Home Phone Number** _____

Personal Email Address _____

Date of Hire _____ **I am retired and my retirement date was** _____
(mm/dd/yyyy) (provide only if applicable) (mm/dd/yyyy)

Step 4 – Beneficiary IRA Information

If this account is being set up as a Beneficiary IRA, please complete the following information for the Decedent:

Name _____ **Date of Birth** _____
First _____ MI _____ Last _____ (mm/dd/yyyy)

Social Security/Tax I.D. Number _____ **Date of Death** _____
(mm/dd/yyyy)

Choose one Required Minimum Distribution (RMD) option:

- ☐ RMD is not applicable.
- ☐ RMD has been satisfied for the current year.
- ☐ RMD has not been satisfied. The information below is required.

Prior year end account value \$ _____

Complete and return the **Custodial Account Required Minimum Distribution Form (32-79400-05)**

Step 5 – Contribution Information

Indicate how your contributions will be applied:

Contributions can be made as a single deposit or on a recurring basis. Contributions can be made using an ACH draft from your checking/savings account or a check can be submitted with this enrollment form. The minimum amount required to establish an account is \$7,000 or as noted below for recurring contributions.

- ☐ **ACH Bank Draft** – elect a recurring draft, a one-time draft or both. If no date is indicated, or date is prior to date of receipt, the contribution will occur on the business day following the date the request is received in proper form.

Recurring Contributions

Amount \$ _____

Date _____
(mm/dd/yyyy) – Between the 1st and 28th of the month

Frequency (Must select One)

- ☐ Monthly (\$100 Minimum)
☐ Quarterly (\$300 Minimum)
☐ Semiannually (\$600 Minimum)
☐ Annually (\$1,200 Minimum)
☐ Twice Monthly:

1st Date _____ 2nd Date _____
(mm/dd/yyyy) Between the 1st and 28th of the month

Initial Contribution (One-time)

Amount \$ _____

Date _____
(mm/dd/yyyy) – Between the 1st and 28th of the month

Contributions will be applied as current year unless otherwise designated.

Current year contribution \$ _____

Prior year contribution \$ _____

Provide Bank Information:

Bank Account Type (check one): ☐ Checking ☐ Savings

Name of Bank: _____

Bank Account Owner Name(s): _____

Bank Routing Number: _____ Bank Account Number: _____

1. Routing Number (requires 9 digits)
2. Bank Account Number (not to exceed 17 digits)
3. Check Number

You should notify your bank that you are going to use this service to ensure they accept preauthorized electronic drafts. Please be aware that withdrawals from your account may occur up to 3 business days before the scheduled date of investment in the fund.

- ☐ **Check or Incoming Transfer/Rollover** – minimum initial amount is \$7,000. Contributions are applied as current year contributions unless otherwise designated.

Check for current year contribution \$ _____

Check for prior year contribution \$ _____

Estimated rollover amount \$ _____

Step 6 – Automatic Asset Rebalance

Check one Frequency below only if you wish to establish Automatic Asset Rebalance. Your account will be rebalanced on the first business day of the month according to the frequency selected. Frequencies are based on a calendar year.

Frequency: ☐ Monthly ☐ Quarterly ☐ Semi-Annually ☐ Annually

Step 7 – Investment Instructions

Select **ONLY ONE** of the following three Allocation Elections.

1. Allocation Election 1: Passive Portfolios with Vanguard Funds
2. Allocation Election 2: Target Portfolio by Mesirow Financial
3. Allocation Election 3: Personalized fund list

If no direction is provided, your existing account balance and future contributions will be invested in the JP Morgan US Government Money Market Fund.

<input type="radio"/>	Allocation Election 1: Passive Portfolios with Vanguard Funds <i>(Required to select ONLY ONE model from the list below)</i>	
	Only one of the models below may be selected. This is not a managed account. Work with your Financial Professional to update your account. An additional asset based fee of 0.45% applies to assets held in the Vanguard Funds.	
<input type="radio"/>	Conservative	
	20% JPMorgan U.S. Government Money Market MJGXX 6% Vanguard® Developed Markets Index VTMGX 60% Vanguard® Total Bond Market Index VBT LX	12% Vanguard® 500 Index VFIAX 2% Vanguard® Mid Cap Index VIMAX
<input type="radio"/>	Moderate Conservative	
	12% JPMorgan U.S. Government Money Market MJGXX 12% Vanguard® Developed Markets Index VTMGX 2% Vanguard® Small Cap Index VSMAX	22% Vanguard® 500 Index VFIAX 4% Vanguard® Mid Cap Index VIMAX 48% Vanguard® Total Bond Market Index VBT LX
<input type="radio"/>	Moderate	
	6% JPMorgan U.S. Government Money Market MJGXX 19% Vanguard® Developed Markets Index VTMGX 4% Vanguard® Small Cap Index VSMAX	31% Vanguard® 500 Index VFIAX 6% Vanguard® Mid Cap Index VIMAX 34% Vanguard® Total Bond Market Index VBT LX
<input type="radio"/>	Moderate Aggressive	
	34% Vanguard® 500 Index VFIAX 8% Vanguard® Mid Cap Index VIMAX 25% Vanguard® Total Bond Market Index VBT LX	26% Vanguard® Developed Markets Index VTMGX 7% Vanguard® Small Cap Index VSMAX
<input type="radio"/>	Aggressive	
	40% Vanguard® 500 Index VFIAX 11% Vanguard® Mid Cap Index VIMAX 10% Vanguard® Total Bond Market Index VBT LX	31% Vanguard® Developed Markets Index VTMGX 8% Vanguard® Small Cap Index VSMAX

Step 7 – Investment Instructions (continued)

<input type="radio"/>	Allocation Election 2: Target Portfolio by Mesirow Financial <i>(Required to select ONLY ONE model from the list below)</i>	
<p>This is not a managed account. Work with your Financial Professional to update your account. Target Portfolios are updated annually but your account will not automatically update. An additional asset based fee of 0.45% applies to assets held in the Vanguard Funds. An additional asset based fee of 0.10% applies to assets held in American Funds.</p>		
<input type="radio"/>	Conservative	
	4% American Funds® Washington Mutual Investors FundSM WSHFX 20% Guggenheim Core Bond SIUSX 3% Janus Henderson Overseas JIGRX 20% JPMorgan U.S. Government Money Market MJGXX 3% Vanguard® Developed Markets Index VTMGX	4% BlackRock® Equity Dividend MDDVX 20% Guggenheim Total Return Bond GIBAX 2% JPMorgan Mid Cap Equity JCMAX 4% T. Rowe Price Growth Stock RRG SX 20% Vanguard® Total Bond Market Index VBT LX
<input type="radio"/>	Moderate Conservative	
	5% American Funds® Washington Mutual Investors FundSM WSHFX 6% BlackRock® Equity Dividend MDDVX 16% Guggenheim Core Bond SIUSX 4% Janus Henderson Overseas JIGRX 12% JPMorgan U.S. Government Money Market MJGXX 5% Vanguard® 500 Index VFIAX 16% Vanguard® Total Bond Market Index VBT LX	2% Avantis® U.S. Small Cap Value AVUVX 4% Fidelity® Advisor International Capital Appreciation FIATX 16% Guggenheim Total Return Bond GIBAX 4% JPMorgan Mid Cap Equity JCMAX 6% T. Rowe Price Growth Stock RRG SX 4% Vanguard® Developed Markets Index VTMGX
<input type="radio"/>	Moderate	
	7% American Funds® Washington Mutual Investors FundSM WSHFX 9% BlackRock® Equity Dividend MDDVX 10% Guggenheim Core Bond SIUSX 2% Invesco Discovery OPOCX 6% JPMorgan Mid Cap Equity JCMAX 8% T. Rowe Price Growth Stock RRG SX 6% Vanguard® Developed Markets Index VTMGX	2% Avantis® U.S. Small Cap Value AVUVX 6% Fidelity® Advisor International Capital Appreciation FIATX 12% Guggenheim Total Return Bond GIBAX 7% Janus Henderson Overseas JIGRX 6% JPMorgan U.S. Government Money Market MJGXX 7% Vanguard® 500 Index VFIAX 12% Vanguard® Total Bond Market Index VBT LX
<input type="radio"/>	Moderate Aggressive	
	8% American Funds® Washington Mutual Investors FundSM WSHFX 9% BlackRock® Equity Dividend MDDVX 8% Guggenheim Core Bond SIUSX 3% Invesco Discovery OPOCX 8% JPMorgan Mid Cap Equity JCMAX 8% Vanguard® 500 Index VFIAX 8% Vanguard® Total Bond Market Index VBT LX	4% Avantis® U.S. Small Cap Value AVUVX 8% Fidelity® Advisor International Capital Appreciation FIATX 9% Guggenheim Total Return Bond GIBAX 9% Janus Henderson Overseas JIGRX 9% T. Rowe Price Growth Stock RRG SX 9% Vanguard® Developed Markets Index VTMGX
<input type="radio"/>	Aggressive	
	10% American Funds® Washington Mutual Investors FundSM WSHFX 10% BlackRock® Equity Dividend MDDVX 2% Guggenheim Core Bond SIUSX 3% Invesco Discovery OPOCX 11% JPMorgan Mid Cap Equity JCMAX 10% Vanguard® 500 Index VFIAX 4% Vanguard® Total Bond Market Index VBT LX	5% Avantis® U.S. Small Cap Value AVUVX 10% Fidelity® Advisor International Capital Appreciation FIATX 4% Guggenheim Total Return Bond GIBAX 11% Janus Henderson Overseas JIGRX 10% T. Rowe Price Growth Stock RRG SX 10% Vanguard® Developed Markets Index VTMGX

Step 7 – Investment Instructions (continued)

Allocation Election 3: Personalized fund list

Select the funds from the list below by indicating the allocation percentage. An additional asset based fee of 0.45% applies to assets held in the Vanguard funds. An additional asset based fee of 0.10% applies to assets held in American funds.

The list of funds is continued on the next page. Make sure the total of all allocations equals 100%.

Percentage	Fund Name	Percentage	Fund Name
_____ %	☯ American Century Large Cap Equity AFDAX	_____ %	Fidelity® Advisor Capital & Income FAHYX
_____ %	☯ Calvert Core Bond CLDAX	_____ %	Fidelity® Advisor International Capital Appreciation
_____ %	☯ Calvert Emerging Markets Equity CVMAX	_____ %	FIATX
_____ %	☯ Calvert Flexible Bond CUBAX	_____ %	Fidelity® Advisor Stock Selector Mid Cap FMCAX
_____ %	☯ Calvert Growth Allocation CAAAX	_____ %	Franklin High Income FHQRX
_____ %	☯ Calvert Small-Cap CCVAX	_____ %	Franklin Income FKIQX
_____ %	☯ ClearBridge Sustainability Leaders CLSUX	_____ %	Goldman Sachs Emerging Markets Equity GEMSX
_____ %	Allspring Large Cap Core EGOAX	_____ %	Goldman Sachs Government Income GSOSX
_____ %	Allspring Small Company Value SCVAX	_____ %	Guggenheim Core Bond SIUSX
_____ %	American Century Equity Income TWEAX	_____ %	Guggenheim Floating Rate Strategies GIFAX
_____ %	American Century Heritage ATHAX	_____ %	Guggenheim High Yield SIHAX
_____ %	American Century International Growth TWGAX	_____ %	Guggenheim Macro Opportunities GIOAX
_____ %	American Century Select TWCAx	_____ %	Guggenheim Managed Futures Strategy RYMFx
_____ %	American Century Short Duration Strategic Income	_____ %	Guggenheim Multi-Hedge Strategies RYMSX
_____ %	ASADX	_____ %	Guggenheim Total Return Bond GIBAX
_____ %	American Century Strategic Allocation: Aggressive	_____ %	Invesco Comstock ACSTX
_____ %	ACVAX	_____ %	Invesco Core Plus Bond ACPsx
_____ %	American Century Strategic Allocation: Conservative	_____ %	Invesco Discovery OPOCX
_____ %	ACCAx	_____ %	Invesco Energy IENAX
_____ %	American Century Strategic Allocation: Moderate	_____ %	Invesco Equity and Income ACEIX
_____ %	ACOAX	_____ %	Invesco EQV Emerging Markets All Cap GTDDX
_____ %	American Century Ultra® TWUAX	_____ %	Invesco Global OPPAX
_____ %	American Funds The Bond Fund of America® BFAFX	_____ %	Invesco Gold & Special Minerals OPGsx
_____ %	American Funds® American Balanced Fund® BALFX	_____ %	Invesco International Small-Mid Company †† OSMAX
_____ %	American Funds® American Mutual Fund® AMFFx	_____ %	Invesco Small Cap Growth GTSAX
_____ %	American Funds® New Perspective Fund® NPFFx	_____ %	Invesco Value Opportunities VVOAX
_____ %	American Funds® Washington Mutual Investors Fund SM	_____ %	Janus Henderson Absolute Return Income Opportunities
_____ %	WSHFX	_____ %	JUCSX
_____ %	AMG River Road Mid Cap Value CHTTX	_____ %	Janus Henderson Global Equity Income HFQsx
_____ %	Avantis® Emerging Markets Equity AVEEX	_____ %	Janus Henderson Global Life Sciences JFNsx
_____ %	Avantis® U.S. Small Cap Value AVUVX	_____ %	Janus Henderson Mid Cap Value JMVIX
_____ %	Baron Asset BARAX	_____ %	Janus Henderson Overseas JIGRX
_____ %	Baron Real Estate BREFX	_____ %	JPMorgan Growth Advantage VHIAx
_____ %	BlackRock® Equity Dividend MDDVX	_____ %	JPMorgan Income JGIAX
_____ %	BlackRock® Global Allocation MDLOX	_____ %	JPMorgan Mid Cap Equity JCMAX
_____ %	BNY Mellon Appreciation DGAGX	_____ %	JPMorgan Short Duration Core Plus JSDHX
_____ %	BNY Mellon Dynamic Value DAGVX	_____ %	JPMorgan Small Cap Growth †† PGSGX
_____ %	Calamos® Growth and Income CVTRX	_____ %	JPMorgan U.S. Government Money Market MJGxx
_____ %	Calamos® Market Neutral Income CVSIX	_____ %	JPMorgan US Small Company JTUAX
_____ %	ClearBridge Small Cap Growth †† SASMX	_____ %	Macquarie Asset Strategy WASAX
_____ %	Donoghue Forlines Risk Managed Income FLOAX	_____ %	Macquarie High Income WHIAx
_____ %	Federated Hermes Corporate Bond FDBAX	_____ %	Macquarie International Core Equity IIVAX
_____ %	Federated Hermes Prudent Bear BEARX	_____ %	Macquarie Large Cap Growth WLGAX
_____ %	Fidelity Advisor® Technology FATEX	_____ %	Macquarie Mid Cap Growth WMGAX

☯ ESG funds noted with this symbol are funds identified by Morningstar as ESG funds pursuant to the Morningstar criteria. Morningstar defines “Sustainable Investment” as a fund that explicitly indicates any kind of sustainability, impact, or ESG strategy in their prospectus or offering documents. “ESG Funds” incorporate environmental, social, and governance (ESG) principles into the investment process or engagement activities. “Impact Funds” seek to make a measurable impact with investments on specific issue areas like Gender Diversity or Community development alongside financial return. “Environmental Sector Funds” are non-diversified funds that invest in environmentally oriented industries like renewable energy or water.

††Closed to new and additional investments.



Allocation Election 3: Personalized fund list

Percentage Fund Name

_____ %	NAA Large Core SECEX
_____ %	NAA Risk Managed Real Estate GURAX
_____ %	NAA SMid Cap Value SEVAX
_____ %	Needham Aggressive Growth NEAIX
_____ %	Neuberger Berman Large Cap Value NBPBX
_____ %	Northern Global Tactical Asset Allocation BBALX
_____ %	Northern Large Cap Core †† NOLCX
_____ %	PGIM Global Total Return GTRAX
_____ %	PGIM Jennison Mid-Cap Growth PEEAX
_____ %	PGIM Jennison Utility PRUAX
_____ %	PIMCO All Asset PATRX
_____ %	PIMCO CommodityRealReturn Strategy PCRAX
_____ %	PIMCO Emerging Markets Bond PAEMX
_____ %	PIMCO International Bond (U.S. Dollar-Hedged) PFRRX
_____ %	PIMCO Real Return PRRRX
_____ %	Royce Small-Cap Opportunity RYOFX
_____ %	Royce Small-Cap Value RYVFX
_____ %	Swan Defined Risk SDRAX
_____ %	T. Rowe Price Capital Appreciation PACLX
_____ %	T. Rowe Price Growth Stock RRGSX
_____ %	T. Rowe Price Retirement 2010 RRTAX
_____ %	T. Rowe Price Retirement 2015 RRTMX
_____ %	T. Rowe Price Retirement 2020 RRTBX
_____ %	T. Rowe Price Retirement 2025 RRTNX
_____ %	T. Rowe Price Retirement 2030 RRTCX
_____ %	T. Rowe Price Retirement 2035 R RTPX
_____ %	T. Rowe Price Retirement 2040 RRTDX
_____ %	T. Rowe Price Retirement 2045 RRTRX
_____ %	T. Rowe Price Retirement 2050 RRTFX
_____ %	T. Rowe Price Retirement 2055 RRTVX
_____ %	T. Rowe Price Retirement 2060 TRRX
_____ %	T. Rowe Price Retirement 2065 RRSUX
_____ %	T. Rowe Price Retirement Balanced RRTIX
_____ %	Templeton Global Bond TPINX
_____ %	Vanguard® 500 Index VFIAX

Percentage Fund Name

_____ %	Vanguard® Developed Markets Index VTMGX
_____ %	Vanguard® Emerging Markets Stock Index VEMAX
_____ %	Vanguard® Growth Index VIGAX
_____ %	Vanguard® Information Technology Index VITAX
_____ %	Vanguard® Mid Cap Index VIMAX
_____ %	Vanguard® Mid-Cap Growth Index VMGMX
_____ %	Vanguard® Mid-Cap Value Index VMVAX
_____ %	Vanguard® Real Estate Index VGSIX
_____ %	Vanguard® Short-Term Inflation-Protected Securities Index VTAPX
_____ %	Vanguard® Small Cap Index VSMAX
_____ %	Vanguard® Small-Cap Growth Index VSGAX
_____ %	Vanguard® Small-Cap Value Index VSIAX
_____ %	Vanguard® Target Retirement 2020 VTWNX
_____ %	Vanguard® Target Retirement 2025 VTTVX
_____ %	Vanguard® Target Retirement 2030 VTTHX
_____ %	Vanguard® Target Retirement 2035 VTTHX
_____ %	Vanguard® Target Retirement 2040 VFORX
_____ %	Vanguard® Target Retirement 2045 VTIVX
_____ %	Vanguard® Target Retirement 2050 VFIFX
_____ %	Vanguard® Target Retirement 2055 VFFVX
_____ %	Vanguard® Target Retirement 2060 VTTSX
_____ %	Vanguard® Target Retirement 2065 VLXVX
_____ %	Vanguard® Target Retirement 2070 VSVNX
_____ %	Vanguard® Target Retirement Income VTINX
_____ %	Vanguard® Total Bond Market Index VBTLX
_____ %	Vanguard® Total International Bond Index VTABX
_____ %	Vanguard® Value Index VVIAX
_____ %	Victory Pioneer Strategic Income PSRAX
_____ %	Victory RS Partners RSPFX
_____ %	Victory RS Science and Technology RSIFX
_____ %	Victory RS Value RSVAX
_____ %	Virtus Ceredex Mid Cap Value Equity SAMVX
_____ %	Virtus KAR Mid-Cap Growth PHSKX
_____ %	Virtus SGA Global Growth SGAAX

Step 8 – Provide Primary and Contingent Beneficiary(ies)

Provide beneficiary designations. Use whole percentages totaling 100% for Primary and 100% for Contingent.

	Primary Beneficiary Name (Full Legal Name)	Social Security No.	DOB (mm/dd/yyyy)	Relationship to Participant	% of Benefit
1.					
2.					
3.					
4.					
5.					

Must total 100%

	Contingent Beneficiary (Full Legal Name)	Social Security No.	DOB (mm/dd/yyyy)	Relationship to Participant	% of Benefit
1.					
2.					
3.					
4.					
5.					

Must total 100%

Step 9 – Participant Signature

I understand and acknowledge that:

- I am permitted to direct my investments in this plan, and I am responsible for the results of my investment directions.
- I have received and reviewed the information in my enrollment kit about investment choices and had the opportunity to freely choose how my contributions are to be invested.
- I understand that I should contact my financial professional to confirm the assessment of redemption fees and the availability of certain funds.
- I hereby acknowledge receipt and adoption of the Trust Agreement or Custodial Agreement, as applicable, and consent to the fees outlined therein.
- Transactions may be requested via phone, internet, or other electronic means by the Participant and/or financial professional based on instructions of the Participant. Security Distributors has established procedures reasonably designed to confirm that phone instructions are genuine. Neither the Fund nor Security Distributors will be liable for any loss, liability, or expenses arising out of any phone request, provided the procedures were followed. Thus, a stockholder may bear the risk of loss from a fraudulent or unauthorized request.

Tax Identification Number Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (as defined in the IRS Form W-9 instructions).

You must cross out item 2 above, if you have been notified by the IRS that you are currently subject to backup withholding because of underreporting interest or dividends on your tax return. The Internal Revenue Service does not require your consent to any provisions of this document other than the certifications required to avoid backup withholding.

Important Information About Procedures For Opening A New Account

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.

What this means to you: When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

X _____
Signature of Employee Date (mm/dd/yyyy)

(You must include your designation if signing as a trustee, executor, custodian, guardian, or attorney-in-fact.)



Check all that apply

I elect to receive, electronically to my email address provided:

☐ Statements ☐ Confirms ☐ Fund Documents ☐ Tax Forms

Email Address _____

Step 10 – Financial Professional Signature

This section of the enrollment form should be completed by your Financial Professional. Complete your information and sign.

THE FOLLOWING REPRESENTATIONS, WARRANTIES, AND CERTIFICATIONS APPLY WITH RESPECT TO THE PROVISION OF FIDUCIARY INVESTMENT ADVICE (AS DEFINED IN SECTION 3(21)(A)(iii) OF THE EMPLOYEE RETIREMENT INCOME SECURITY ACT OF 1974, AS AMENDED (“ERISA”), SECTION 4975(e)(3)(B) OF THE INTERNAL REVENUE CODE OF 1986, AS AMENDED (THE “CODE”), AND GUIDANCE ISSUED BY THE UNITED STATES DEPARTMENT OF LABOR), PROVIDED IN RELATION TO THE TRANSACTION CONTEMPLATED BY THIS FORM, INCLUDING ADVICE TO ROLL OVER (1) THE ASSETS OF A PLAN SUBJECT TO ERISA (“PLAN”) TO ANOTHER PLAN, (2) PLAN ASSETS TO AN INDIVIDUAL RETIREMENT ACCOUNT DESCRIBED IN CODE SECTION 4975(e)(1)(B) THROUGH (F) (“IRA”), (3) AN IRA TO A PLAN, OR (4) AN IRA TO ANOTHER IRA

By signing below, I represent, warrant, and certify to Security Benefit that I have complied with the United States Department of Labor’s Prohibited Transaction Exemption (PTE) 2020-02, in connection with the transaction contemplated by this form.

Without limiting the generality of the foregoing, I represent, warrant, and certify to Security Benefit that I:

- (1) acted in accordance with the “Impartial Conduct Standards,” including:
 - a. the investment advice I provided regarding the transaction was in the Participant’s best interest;
 - b. the combined total of all fees I have received and will receive for my services does not exceed reasonable compensation within the meaning of ERISA Section 408(b)(2) and Section 4975(d)(2) of the Code; and
 - c. I made no materially misleading statements to the Participant with respect to the recommended transaction and other relevant matters.
- (2) made the following written disclosures to the Participant:
 - a. an acknowledgment that I (and my supervising financial institution) am a fiduciary for purposes of ERISA and Section 4975 of the Code;
 - b. a description of the services to be provided and my and my financial institution’s material conflicts of interests, that is accurate and not misleading in any material respect; and
 - c. Effective July 1, 2022 or as otherwise mandated by the United States Department of Labor, if my advice involved a rollover recommendation, documentation of the specific reasons for that recommendation.
- (3) am not ineligible to rely on PTE 2020-02; and
- (4) am in compliance with all applicable conditions of PTE 2020-02.

Additionally, I acknowledge that neither Security Benefit nor any of its affiliates is a fiduciary with respect to the Participant’s transaction.

Financial Professional Name: _____ **Financial Professional Number:** _____

E-mail: _____ **Phone Number:** _____

Broker Dealer or Firm Name: _____

X _____ **Date:** _____
Signature of Financial Professional (mm/dd/yyyy)

Financial Professionals – Upload transaction forms securely by logging into your account at SecurityBenefit.com

Mail to:

Security Benefit Retirement Plan Services
P.O. Box 219141
Kansas City, MO 64121-9141
Fax to: 816.701.7626

**For expedited or
overnight delivery:**

Security Benefit Retirement Plan Services
801 Pennsylvania Ave Suite 219141
Kansas City, MO 64105