



Security Benefit Advisor Mutual Fund Program SEP/SIMPLE IRA Enrollment Form

Questions? Call our National Service Center at
1-800-747-3942 or visit us at SecurityBenefit.com.

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.

| | |
|-----------------------|----------|
| <input type="radio"/> | Option 3 |
|-----------------------|----------|

| | |
|-----------------------|----------|
| <input type="radio"/> | 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:

| | |
|-------|-------|
| _____ | _____ |
| _____ | _____ |

☐ **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.

Note: Employee contributions are not allowed in a SEP IRA. If the account type is a SIMPLE IRA contact your employer for a salary reduction form (or IRS Form 5304-SIMPLE)

☐ **SEP IRA** ☐ **SIMPLE IRA**

Step 3 – Provide Employer Information

Name of Employer _____

Plan Number _____

Employer EIN Number _____
(Optional)

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

Employer's Primary Phone Number _____

Step 4 – 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 5 – 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 6 – 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 6 – 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 6 – 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 RRG SX |
| _____ % | 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 VGS LX |
| _____ % | 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 VBT LX |
| _____ % | 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 7 – 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 8 – Participant Signature

I understand and acknowledge that:

- My Employer will reduce my salary as indicated on this form and will continue until further notice.
- 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 9 – 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