



# 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](https://www.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.

☐ 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:

\_\_\_\_\_  
\_\_\_\_\_

☐ **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 \_\_\_\_\_ Line 2 \_\_\_\_\_  
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"/>	<b>Allocation Election 1: Passive Portfolios with Vanguard Funds</b> <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"/>	<b>Conservative</b>	
	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"/>	<b>Moderate Conservative</b>	
	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"/>	<b>Moderate</b>	
	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"/>	<b>Moderate Aggressive</b>	
	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"/>	<b>Aggressive</b>	
	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)

☐ **Allocation Election 2: Target Portfolio by Mesirow Financial** (Required to select *ONLY ONE* model from the list below)

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.

☐ **Conservative**

<b>4%</b> American Funds® Washington Mutual Investors FundSM WSHFX	<b>4%</b> BlackRock® Equity Dividend MDDVX
<b>20%</b> Guggenheim Core Bond SIUSX	<b>3%</b> Janus Henderson Overseas JIGRX
<b>20%</b> JPMorgan U.S. Government Money Market MJGXX	<b>4%</b> T. Rowe Price Growth Stock RRG SX
<b>3%</b> Vanguard® Developed Markets Index VTMGX	<b>2%</b> Vanguard® Mid Cap Index VIMAX
<b>20%</b> Vanguard® Total Bond Market Index VBT LX	<b>20%</b> Western Asset Core Bond WABAX

☐ **Moderate Conservative**

<b>2%</b> Allspring Small Company Value SCVAX	<b>5%</b> American Funds® Washington Mutual Investors FundSM WSHFX
<b>6%</b> BlackRock® Equity Dividend MDDVX	<b>4%</b> Fidelity® Advisor International Capital Appreciation FIATX
<b>16%</b> Guggenheim Core Bond SIUSX	<b>4%</b> Janus Henderson Overseas JIGRX
<b>12%</b> JPMorgan U.S. Government Money Market MJGXX	<b>6%</b> T. Rowe Price Growth Stock RRG SX
<b>5%</b> Vanguard® 500 Index VFIAX	<b>4%</b> Vanguard® Developed Markets Index VTMGX
<b>4%</b> Vanguard® Mid Cap Index VIMAX	<b>16%</b> Vanguard® Total Bond Market Index VBT LX
<b>16%</b> Western Asset Core Bond WABAX	

☐ **Moderate**

<b>2%</b> Allspring Small Company Value SCVAX	<b>7%</b> American Funds® Washington Mutual Investors FundSM WSHFX
<b>9%</b> BlackRock® Equity Dividend MDDVX	<b>6%</b> Fidelity® Advisor International Capital Appreciation FIATX
<b>12%</b> Guggenheim Core Bond SIUSX	<b>2%</b> Invesco Discovery OPOCX
<b>7%</b> Janus Henderson Overseas JIGRX	<b>6%</b> JPMorgan U.S. Government Money Market MJGXX
<b>8%</b> T. Rowe Price Growth Stock RRG SX	<b>7%</b> Vanguard® 500 Index VFIAX
<b>6%</b> Vanguard® Developed Markets Index VTMGX	<b>6%</b> Vanguard® Mid Cap Index VIMAX
<b>12%</b> Vanguard® Total Bond Market Index VBT LX	<b>10%</b> Western Asset Core Bond WABAX

☐ **Moderate Aggressive**

<b>4%</b> Allspring Small Company Value SCVAX	<b>8%</b> American Funds® Washington Mutual Investors FundSM WSHFX
<b>9%</b> BlackRock® Equity Dividend MDDVX	<b>8%</b> Fidelity® Advisor International Capital Appreciation FIATX
<b>9%</b> Guggenheim Core Bond SIUSX	<b>3%</b> Invesco Discovery OPOCX
<b>9%</b> Janus Henderson Overseas JIGRX	<b>9%</b> T. Rowe Price Growth Stock RRG SX
<b>8%</b> Vanguard® 500 Index VFIAX	<b>9%</b> Vanguard® Developed Markets Index VTMGX
<b>8%</b> Vanguard® Mid Cap Index VIMAX	<b>8%</b> Vanguard® Total Bond Market Index VBT LX
<b>8%</b> Western Asset Core Bond WABAX	

☐ **Aggressive**

<b>5%</b> Allspring Small Company Value SCVAX	<b>10%</b> American Funds® Washington Mutual Investors FundSM WSHFX
<b>10%</b> BlackRock® Equity Dividend MDDVX	<b>10%</b> Fidelity® Advisor International Capital Appreciation FIATX
<b>4%</b> Guggenheim Core Bond SIUSX	<b>3%</b> Invesco Discovery OPOCX
<b>11%</b> Janus Henderson Overseas JIGRX	<b>10%</b> T. Rowe Price Growth Stock RRG SX
<b>10%</b> Vanguard® 500 Index VFIAX	<b>10%</b> Vanguard® Developed Markets Index VTMGX
<b>11%</b> Vanguard® Mid Cap Index VIMAX	<b>4%</b> Vanguard® Total Bond Market Index VBT LX
<b>2%</b> Western Asset Core Bond WABAX	

## 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 Sustainable Equity AFDAX	_____ %	ClearBridge Small Cap Growth †† SASMX
_____ %	☒ Calvert Core Bond CLDAX	_____ %	Delaware Ivy Asset Strategy WASAX
_____ %	☒ Calvert Emerging Markets Equity CVMAX	_____ %	Delaware Ivy High Income WHIAX
_____ %	☒ Calvert Flexible Bond CUBAX	_____ %	Delaware Ivy International Core Equity IVIAX
_____ %	☒ Calvert Growth Allocation CAAAX	_____ %	Delaware Ivy Large Cap Growth WLGAX
_____ %	☒ Calvert Small-Cap CCVAX	_____ %	Delaware Ivy Mid Cap Growth WMGAX
_____ %	☒ ClearBridge Sustainability Leaders CLSUX	_____ %	DWS International Growth SGQAX
_____ %	☒ Impax High Yield Bond PAXHX	_____ %	Federated Hermes Corporate Bond FDBAX
_____ %	Allspring Growth SGRAX	_____ %	Federated Hermes Prudent Bear BEARX
_____ %	Allspring Large Cap Core EGOAX	_____ %	Fidelity Advisor® Technology FATEX
_____ %	Allspring Small Company Value SCVAX	_____ %	Fidelity® Advisor High Income Advantage FAHYX
_____ %	American Century Diversified Bond ADFAX	_____ %	Fidelity® Advisor International Capital Appreciation
_____ %	American Century Equity Income TWEAX	_____ %	FIATX
_____ %	American Century Heritage ATHAX	_____ %	Fidelity® Advisor Stock Selector Mid Cap ‡ FMCAx
_____ %	American Century International Growth TWGAX	_____ %	Franklin Growth Opportunities FGRAX
_____ %	American Century Select TWCAx	_____ %	Franklin High Income FHQRX
_____ %	American Century Short Duration Strategic Income	_____ %	Franklin Income FKIQX
_____ %	ASADX	_____ %	Goldman Sachs Emerging Markets Equity GEMSX
_____ %	American Century Strategic Allocation: Aggressive	_____ %	Goldman Sachs Government Income GSOSX
_____ %	ACVAX	_____ %	Guggenheim Core Bond SIUSX
_____ %	American Century Strategic Allocation: Conservative	_____ %	Guggenheim Floating Rate Strategies GIFAX
_____ %	ACCAX	_____ %	Guggenheim High Yield SIHAX
_____ %	American Century Strategic Allocation: Moderate	_____ %	Guggenheim Macro Opportunities GIOAX
_____ %	ACOAX	_____ %	Guggenheim Managed Futures Strategy RYMFx
_____ %	American Century Ultra® TWUAX	_____ %	Guggenheim Multi-Hedge Strategies RYMSX
_____ %	American Funds® American Balanced Fund® BALFX	_____ %	Guggenheim Risk Managed Real Estate GURAX
_____ %	American Funds® American Mutual Fund® AMFFX	_____ %	Guggenheim SMid Cap Value SEVAX
_____ %	American Funds® New Perspective Fund® NPFFX	_____ %	Guggenheim StylePlus Large Core SECEX
_____ %	American Funds® Washington Mutual Investors Fund <sup>SM</sup>	_____ %	Guggenheim Total Return Bond GIBAX
_____ %	WSHFX	_____ %	Invesco Comstock ACSTX
_____ %	AMG River Road Mid Cap Value CHTTX	_____ %	Invesco Core Plus Bond ACPSX
_____ %	Baron Asset BARAX	_____ %	Invesco Developing Markets ODMAX
_____ %	Baron Real Estate BREFX	_____ %	Invesco Discovery OPOCX
_____ %	BlackRock® Equity Dividend MDDVX	_____ %	Invesco Energy IENAX
_____ %	BlackRock® Global Allocation MDLOX	_____ %	Invesco Equity and Income ACEIX
_____ %	BNY Mellon Appreciation DGAGX	_____ %	Invesco EQV Emerging Markets All Cap GTDDX
_____ %	BNY Mellon Dynamic Value DAGVX	_____ %	Invesco Global OPPAX
_____ %	Calamos® Growth and Income CVTRX	_____ %	Invesco Gold & Special Minerals OPGSX
_____ %	Calamos® Market Neutral Income CVSIX	_____ %	Invesco International Small-Mid Company †† OSMAX
_____ %	ClearBridge Mid Cap SBMAX	_____ %	Invesco Small Cap Growth †† GTSAX

☒ 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.

‡This fund is not available to all plans. Consult with your plan sponsor or financial professional for more information

**Allocation Election 3: Personalized fund list****Percentage Fund Name**

\_\_\_\_\_ % Invesco Value Opportunities VVOAX  
\_\_\_\_\_ % Janus Henderson Absolute Return Income Opportunities  
\_\_\_\_\_ % JUCSX  
\_\_\_\_\_ % Janus Henderson Adaptive Risk Managed U.S. Equity  
\_\_\_\_\_ % JRSSX  
\_\_\_\_\_ % Janus Henderson Global Equity Income HFQSX  
\_\_\_\_\_ % Janus Henderson Global Life Sciences JFNSX  
\_\_\_\_\_ % Janus Henderson Mid Cap Value JMVIX  
\_\_\_\_\_ % Janus Henderson Overseas JIGRX  
\_\_\_\_\_ % JPMorgan Growth Advantage VHIA  
\_\_\_\_\_ % JPMorgan Income JGIA  
\_\_\_\_\_ % JPMorgan Short Duration Core Plus JSDHX  
\_\_\_\_\_ % JPMorgan Small Cap Growth †† PGSGX  
\_\_\_\_\_ % JPMorgan U.S. Government Money Market MJGXX  
\_\_\_\_\_ % JPMorgan US Small Company JTUAX  
\_\_\_\_\_ % 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 PCRA  
\_\_\_\_\_ % PIMCO Emerging Markets Bond PAEMX  
\_\_\_\_\_ % PIMCO International Bond (U.S. Dollar-Hedged) PFRRX  
\_\_\_\_\_ % PIMCO Real Return PRRRX  
\_\_\_\_\_ % PIMCO StocksPLUS® Small Fund PCKAX  
\_\_\_\_\_ % Pioneer Strategic Income PSRAX  
\_\_\_\_\_ % 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

**Percentage Fund Name**

\_\_\_\_\_ % 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 TRRZX  
\_\_\_\_\_ % T. Rowe Price Retirement 2065 RRSUX  
\_\_\_\_\_ % T. Rowe Price Retirement Balanced RRTIX  
\_\_\_\_\_ % Templeton Global Bond TPINX  
\_\_\_\_\_ % Vanguard® 500 Index VFIAX  
\_\_\_\_\_ % Vanguard® Developed Markets Index VTMGX  
\_\_\_\_\_ % Vanguard® Emerging Markets Stock Index VEMAX  
\_\_\_\_\_ % Vanguard® Mid Cap Index VIMAX  
\_\_\_\_\_ % Vanguard® Real Estate Index VGS LX  
\_\_\_\_\_ % Vanguard® Small Cap Index VSMAX  
\_\_\_\_\_ % Vanguard® Target Retirement 2020 VTWNX  
\_\_\_\_\_ % Vanguard® Target Retirement 2025 VTTVX  
\_\_\_\_\_ % Vanguard® Target Retirement 2030 VTHR X  
\_\_\_\_\_ % 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 VTT SX  
\_\_\_\_\_ % 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  
\_\_\_\_\_ % 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 SGAA X  
\_\_\_\_\_ % Western Asset Core Bond WABAX

**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](https://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  
430 W. 7th Street STE 219141  
Kansas City, MO 64105-1407