



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 403(b)7 Participant 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:

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

☐ **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 Employer Information

Name of Employer \_\_\_\_\_

Employer EIN Number \_\_\_\_\_

(Optional)

Mailing Address

Line 1 \_\_\_\_\_ Line 2 \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Employer's Primary Phone Number \_\_\_\_\_

### 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 – Contribution Instructions for Salary Reduction

Complete this section ONLY if you are contributing through salary reduction. Provide your employer a copy of this form to serve as your salary reduction agreement. The availability of the Roth and Catch-up Contributions needs to be verified with your employer.

Indicate all that apply:

#### Salary Reduction per pay period

Pre-tax Qualified Contribution of \$ \_\_\_\_\_ or \_\_\_\_\_ % per pay period.  
After-tax Roth Contribution of \$ \_\_\_\_\_ or \_\_\_\_\_ % per pay period.

#### Catch-Up\* Amount per pay period

Pre-tax Qualified Contribution of \$ \_\_\_\_\_ or \_\_\_\_\_ % per pay period.  
After-tax Roth Contribution of \$ \_\_\_\_\_ or \_\_\_\_\_ % per pay period.  
**Total** \$ \_\_\_\_\_ or \_\_\_\_\_ % per pay period.

#### \* Additional Catch-up Amounts:

- ☐ **15 years of service catch up contributions** (Note: Applicable to (403(b)(7) plans only)  
\$ \_\_\_\_\_
- ☐ **3 years before retirement age** (Note: Applicable to 457(b) Governmental and 457 Tax-exempt plans only)  
Expected retirement date \_\_\_\_\_  
(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>	
	<b>20%</b> JPMorgan U.S. Government Money Market MJGXX <b>6%</b> Vanguard® Developed Markets Index VTMGX <b>60%</b> Vanguard® Total Bond Market Index VBT LX	<b>12%</b> Vanguard® 500 Index VFIAX <b>2%</b> Vanguard® Mid Cap Index VIMAX
<input type="radio"/>	<b>Moderate Conservative</b>	
	<b>12%</b> JPMorgan U.S. Government Money Market MJGXX <b>12%</b> Vanguard® Developed Markets Index VTMGX <b>2%</b> Vanguard® Small Cap Index VSMAX	<b>22%</b> Vanguard® 500 Index VFIAX <b>4%</b> Vanguard® Mid Cap Index VIMAX <b>48%</b> Vanguard® Total Bond Market Index VBT LX
<input type="radio"/>	<b>Moderate</b>	
	<b>6%</b> JPMorgan U.S. Government Money Market MJGXX <b>19%</b> Vanguard® Developed Markets Index VTMGX <b>4%</b> Vanguard® Small Cap Index VSMAX	<b>31%</b> Vanguard® 500 Index VFIAX <b>6%</b> Vanguard® Mid Cap Index VIMAX <b>34%</b> Vanguard® Total Bond Market Index VBT LX
<input type="radio"/>	<b>Moderate Aggressive</b>	
	<b>34%</b> Vanguard® 500 Index VFIAX <b>8%</b> Vanguard® Mid Cap Index VIMAX <b>25%</b> Vanguard® Total Bond Market Index VBT LX	<b>26%</b> Vanguard® Developed Markets Index VTMGX <b>7%</b> Vanguard® Small Cap Index VSMAX
<input type="radio"/>	<b>Aggressive</b>	
	<b>40%</b> Vanguard® 500 Index VFIAX <b>11%</b> Vanguard® Mid Cap Index VIMAX <b>10%</b> Vanguard® Total Bond Market Index VBT LX	<b>31%</b> Vanguard® Developed Markets Index VTMGX <b>8%</b> Vanguard® Small Cap Index VSMAX

## Step 6 – Investment Instructions (continued)

<input type="radio"/>	<b>Allocation Election 2: Target Portfolio by Mesirow Financial</b> <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"/>	<b>Conservative</b>	
	<b>4%</b> American Funds® Washington Mutual Investors FundSM WSHFX <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>3%</b> Vanguard® Developed Markets Index VTMGX	<b>4%</b> BlackRock® Equity Dividend MDDVX  <b>20%</b> Guggenheim Total Return Bond GIBAX <b>2%</b> JPMorgan Mid Cap Equity JCMAX <b>4%</b> T. Rowe Price Growth Stock RRG SX <b>20%</b> Vanguard® Total Bond Market Index VBT LX
<input type="radio"/>	<b>Moderate Conservative</b>	
	<b>5%</b> American Funds® Washington Mutual Investors FundSM WSHFX <b>6%</b> BlackRock® Equity Dividend MDDVX <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>5%</b> Vanguard® 500 Index VFIAX <b>16%</b> Vanguard® Total Bond Market Index VBT LX	<b>2%</b> Avantis® U.S. Small Cap Value AVUVX  <b>4%</b> Fidelity® Advisor International Capital Appreciation FIATX <b>16%</b> Guggenheim Total Return Bond GIBAX <b>4%</b> JPMorgan Mid Cap Equity JCMAX <b>6%</b> T. Rowe Price Growth Stock RRG SX <b>4%</b> Vanguard® Developed Markets Index VTMGX
<input type="radio"/>	<b>Moderate</b>	
	<b>7%</b> American Funds® Washington Mutual Investors FundSM WSHFX <b>9%</b> BlackRock® Equity Dividend MDDVX <b>10%</b> Guggenheim Core Bond SIUSX <b>2%</b> Invesco Discovery OPOCX <b>6%</b> JPMorgan Mid Cap Equity JCMAX <b>8%</b> T. Rowe Price Growth Stock RRG SX <b>6%</b> Vanguard® Developed Markets Index VTMGX	<b>2%</b> Avantis® U.S. Small Cap Value AVUVX  <b>6%</b> Fidelity® Advisor International Capital Appreciation FIATX <b>12%</b> Guggenheim Total Return Bond GIBAX <b>7%</b> Janus Henderson Overseas JIGRX <b>6%</b> JPMorgan U.S. Government Money Market MJGXX <b>7%</b> Vanguard® 500 Index VFIAX <b>12%</b> Vanguard® Total Bond Market Index VBT LX
<input type="radio"/>	<b>Moderate Aggressive</b>	
	<b>8%</b> American Funds® Washington Mutual Investors FundSM WSHFX <b>9%</b> BlackRock® Equity Dividend MDDVX <b>8%</b> Guggenheim Core Bond SIUSX <b>3%</b> Invesco Discovery OPOCX <b>8%</b> JPMorgan Mid Cap Equity JCMAX <b>8%</b> Vanguard® 500 Index VFIAX <b>8%</b> Vanguard® Total Bond Market Index VBT LX	<b>4%</b> Avantis® U.S. Small Cap Value AVUVX  <b>8%</b> Fidelity® Advisor International Capital Appreciation FIATX <b>9%</b> Guggenheim Total Return Bond GIBAX <b>9%</b> Janus Henderson Overseas JIGRX <b>9%</b> T. Rowe Price Growth Stock RRG SX <b>9%</b> Vanguard® Developed Markets Index VTMGX
<input type="radio"/>	<b>Aggressive</b>	
	<b>10%</b> American Funds® Washington Mutual Investors FundSM WSHFX <b>10%</b> BlackRock® Equity Dividend MDDVX <b>2%</b> Guggenheim Core Bond SIUSX <b>3%</b> Invesco Discovery OPOCX <b>11%</b> JPMorgan Mid Cap Equity JCMAX <b>10%</b> Vanguard® 500 Index VFIAX <b>4%</b> Vanguard® Total Bond Market Index VBT LX	<b>5%</b> Avantis® U.S. Small Cap Value AVUVX  <b>10%</b> Fidelity® Advisor International Capital Appreciation FIATX <b>4%</b> Guggenheim Total Return Bond GIBAX <b>11%</b> Janus Henderson Overseas JIGRX <b>10%</b> T. Rowe Price Growth Stock RRG SX <b>10%</b> 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 TWCAIX	_____ %	Guggenheim Managed Futures Strategy RYMFY
_____ %	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
_____ %	ACCAIX	_____ %	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 <sup>SM</sup>	_____ %	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 JFNFX
_____ %	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 VHAX
_____ %	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 JIUAX
_____ %	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 IUIAX
_____ %	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 VGSLX
_____ %	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