



# DESIGNATION OF TRANSFER ON DEATH (TOD) BENEFICIARY FORM

- Use this form to establish a Transfer on Death (TOD) on your account. Do not list any IRA accounts on this form. Only accounts registered to individuals, joint tenants, or tenants by the entireties may designate a TOD beneficiary.
- Acceptable methods of receipt include mail and fax (emails not acceptable)
- If your change requires a Medallion Signature Guarantee or Signature Validation Stamp, you may not fax the form – please mail the original

## 1. Account Information

Fund Name

Account Number(s)

Owner's Name

Social Security Number

Joint Owner's Name (if applicable)

Social Security Number

### Please check one:

- ☐ I am opening a TOD Beneficiary account
- ☐ I am adding a TOD Beneficiary on my account (**Medallion Signature Guarantee or Signature Validation Stamp required\***)
- ☐ I am revoking my current TOD Beneficiary listed on my account and designating new beneficiaries

## 2. Beneficiary Designation

The following individual(s) or entity(ies) shall be my primary and/or contingent beneficiary(ies). If neither primary nor contingent is indicated, the individual or entity will be deemed to be a primary beneficiary. If more than one primary beneficiary is designated and no distribution percentages are indicated, the beneficiaries will be deemed to own equal share percentages in the account(s). Multiple contingent beneficiaries with no share percentage indicated will also be deemed to share equally.

If any primary beneficiary dies before I do, his or her interest and the interest of his or her heirs shall terminate completely, and the percentage share of any remaining primary beneficiary(ies) shall be increased on a pro rata basis. If no primary beneficiary(ies) survives me, the contingent beneficiary(ies) shall acquire the designated share of my account(s). If any contingent beneficiary dies before I do, his or her interest and the interest of his or her heirs shall terminate completely, and the percentage share of any remaining contingent beneficiary(ies) shall be increased on a pro rata basis.

### Additional Information

Account Ownership. The designation of a TOD beneficiary on a registration beneficiary form has no effect of ownership until the owner's death. Beneficiaries have no rights to account information and/or trading authority until the death of all owners and until proper documentation is provided.

**Beneficiaries can be listed on following page**

NO.	BENEFICIARY NAME	DATE OF BIRTH	RELATIONSHIP	PRIMARY OR CONTINGENT		SHARE %
1				<input type="checkbox"/> Primary	<input type="checkbox"/> Contingent	
2				<input type="checkbox"/> Primary	<input type="checkbox"/> Contingent	
3				<input type="checkbox"/> Primary	<input type="checkbox"/> Contingent	
4				<input type="checkbox"/> Primary	<input type="checkbox"/> Contingent	
5				<input type="checkbox"/> Primary	<input type="checkbox"/> Contingent	
6				<input type="checkbox"/> Primary	<input type="checkbox"/> Contingent	
7				<input type="checkbox"/> Primary	<input type="checkbox"/> Contingent	
8				<input type="checkbox"/> Primary	<input type="checkbox"/> Contingent	
9				<input type="checkbox"/> Primary	<input type="checkbox"/> Contingent	
10				Primary	Contingent	

### 3. Spousal Consent

This section should be completed if any marital or community property interest exists in the aforementioned account(s) and the account holder is married. Due to the important tax consequences of giving up one's community property interest, individuals signing this section should consult with a competent tax or legal advisor.

#### CURRENT MARITAL STATUS

- ☐ **I am not married.** I understand that if I become married in the future, I must complete a new designation of beneficiary form.
- ☐ **I am married.** I understand that if I choose to designate a primary beneficiary other than my spouse, my spouse must sign below.

#### CONSENT OF SPOUSE

I am the spouse of the above-named account holder. I acknowledge that I have received a fair and reasonable disclosure of my spouse's property and financial obligations. Due to the important tax consequences of giving up my interest in this account, I have been advised to see a tax professional. No tax or legal advice was given to me by the IRA Custodian, the Fund Company or Ultimus Fund Solutions.

I hereby give the account holder any interest I have in the funds or property deposited in the account referenced herein and consent to the beneficiary designations(s) indicated above. I assume full responsibility for any adverse consequences that may result.

\_\_\_\_\_  
Signature of Spouse

\_\_\_\_\_  
Date

#### 4. Signature and Designation

I am designating the above-mentioned individual(s) as the beneficiary(ies) on my account(s). This designation is effective upon receipt by the Fund's transfer agent and will remain in effect until I deliver written notice of change or revocation of beneficiary(ies) to the Fund's transfer agent. If I have previously designated a beneficiary for this account, I now revoke that designation.

Transfer-on-death (TOD) laws vary by state. Please consult an attorney licensed in your state for detailed advice regarding your TOD registration. If there is a dispute regarding the right of a TOD beneficiary to receive assets pursuant to this TOD registration, your states' laws could affect the dispensation of the assets.

I, my successors and assigns, do hereby agree to indemnify and hold harmless the Fund, its affiliates, and any directors, officers, employees, or agents of these entities, from and against all claims, liabilities, damages, actions, charges, costs, losses and expenses arising out of or resulting from the transfer upon my death of the balance in the above reference account(s).

\_\_\_\_\_  
Signature of Owner

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Joint Owner (if applicable)

\_\_\_\_\_  
Date

Medallion Signature Guarantee

OR

Signature Validation Stamp

Medallion Signature Guarantee

OR

Signature Validation Stamp

\*The Funds and their transfer agent will accept a Medallion Signature Guarantee Stamp or Signature Validation Program Stamp executed by eligible issuers participating in the Securities Transfer Agents Medallion Program 2000 (STAMP 2000) on your non-financial account request. Eligible issuers include U.S. domestic banks, credit unions, savings associations (including savings and loan associations), trust companies, national securities exchanges, registered securities associations, clearing agencies, and participating brokers/dealers. Please keep in mind that if any part of your request results in a financial transaction, we will require a Medallion Signature Guarantee. Please note that a Notary Public stamp is not acceptable.

**Mail Completed Form:**

Ultimus Fund Solutions  
PO Box 46707  
Cincinnati, OH 45246

**Overnight Deliveries:**

Ultimus Fund Solutions  
225 Pictoria Dr Ste 450  
Cincinnati, OH 45246

**Fax:**

402-963-9094