

MUTUAL FUND SWITCH LETTER



Mutual Fund Investment Information: Information on New Mutual Fund Purchase

Name of Mutual Fund Company: _____

Name of Fund: _____

Share Class Purchased: _____ Sales Charge: _____ %

Investment Amount \$ _____

List any other Mutual Fund purchases in the last 12 months, even at another firm, to help determine if you qualify for breakpoints:

	Purchase #1	Purchase #2
Fund Name	_____	_____
Amount Invested	_____	_____
Date Invested	_____	_____

Switching Information and Disclosure:

	Liquidation #1	Liquidation #2
Fund Name	_____	_____
Date of Purchase	_____	_____
Date of Liquidation	_____	_____
Share Class Liquidated	_____	_____
Sales Charge Paid	_____ %	_____ %

This confirms I will liquidate the above investment to purchase a new mutual fund(s) with the proceeds. I understand that I may have already paid a sales charge for the fund I am selling and that my current mutual fund company may have a comparable mutual fund in which I could invest while not incurring an additional sales charge. I understand that I will pay another sales charge for the new fund(s) being purchased. I am doing so in view of more important considerations. My representative has explained capital gains and losses on the fund(s) being liquidated.

Signatures and Acknowledgements

This Investment was: ☐ Recommended by my Representative ☐ Not Recommended by my Representative

Owner's Signature	Date	Print Name
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Co-Owner's Signature	Date	Print Name
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I have appropriately acted on behalf of my client by reviewing all possible situations with regards to the above transaction. I believe the information provided is complete and accurate to the best of my knowledge and that this transaction is suitable for the client.

Representative's Signature	Date	Print Name
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By signing below the Principal acknowledges that he/she has reviewed the investment for suitability.

Principal's Signature	Date
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Updated 09/2023