

# MUTUAL FUND / UNIT INVESTMENT TRUST EXCHANGE FORM

Mutual Fund or Unit Investment Trust to be redeemed: \_\_\_\_\_

Account #: \_\_\_\_\_

I have held the fund/unit (check one):       less than one-year     one to two years  
 three to four years     four to five years     two to three years     more than five years

Date sold/redeemed: \_\_\_\_\_

Deferred sales charge amount/percentage (if any): \_\_\_\_\_

Fund to be purchased (If applicable): \_\_\_\_\_

purchase date: \_\_\_\_\_

sales charge \_\_\_\_\_% which will amount to \$ \_\_\_\_\_

Deferred sales charge schedule (assessed if subsequently sold):

Year 1 \_\_\_\_\_%    Year 2 \_\_\_\_\_%    Year 3 \_\_\_\_\_%    Year 4 \_\_\_\_\_%    Year 5 \_\_\_\_\_%    Year 6 \_\_\_\_\_%

**I am aware that mutual funds and Unit Investment Trusts are generally designed as long-term investments. The switch in mutual funds or UITs noted above is being made recognizing this and is consistent with my investment objectives. I have received and reviewed the prospectuses for each of the mutual funds / UITs that I am purchasing. I am aware that additional commissions will be paid. I also am aware of the variety of plans available to reduce my sales charge, including same family exchanges, volume discounts, letters of intent, and rights of accumulation, when applicable. The objectives of each mutual fund have been considered in making my decision, I am aware that the proceeds from the sale of my original investment may be more or less than my original cost and may result in a tax liability.**

\_\_\_\_\_  
Client Name(s) (Please Print)

\_\_\_\_\_  
Client Signature Date

\_\_\_\_\_  
Client Signature Date

The transactions described above are solicited/unsolicited and are based on the following circumstances:-

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

\_\_\_\_\_  
Registered Representative Signature Registered Rep Name Date

\_\_\_\_\_  
Branch Manager Signature Date