



Mutual Fund Order Ticket

Submit Date: _____

ORDER ENTRY: It is your responsibility to ensure that we have received your fax. If you do not receive email notification, please call 1-800-591-8243 for immediate help. *Orders must be submitted by 2:30 (CDT) to ensure same day processing.* Incomplete trade tickets may result in delays that prevent same day order entry. **FAX: 312-588-0226**

REP NAME REP ID BRANCH ID PHONE #

	TRADE 1	TRADE 2	TRADE 3	TRADE 4
ACCOUNT NUMBER	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
ACCOUNT TYPE*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
FUND FAMILY	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
SYMBOL/CUSIP	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
SHARE CLASS	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
BUY/SELL/EXCHANGE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
\$ AMOUNT/SHARES	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
QUANTITY	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
(leave blank if full liquidation)				
NAV PURCHASE?	<input type="checkbox"/> <i>check if applicable</i>	<input type="checkbox"/> <i>check if applicable</i>	<input type="checkbox"/> <i>check if applicable</i>	<input type="checkbox"/> <i>check if applicable</i>
SOLICITED	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
DISCRETIONARY	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
DIVIDENDS/CAP GAINS	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
ROA (if applicable)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
ROA AMOUNT	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
ROA BREAKPOINT %	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
ROA LINKED ACCT #S	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
LOI AMOUNT	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
LOI DATE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
LOI TYPE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
SPECIAL INSTRUCTIONS (Fund exchange or additional breakpoint info added here)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

By signing below, I certify that I have fully explained to the client(s) that mutual funds have various share classes offering different expenses and benefits. I believe the share class selected in this transaction is appropriately suited for the client(s) based upon all the necessary facts and circumstances taken under consideration. I certify that I have reviewed the fund company(s) breakpoint policy, the client(s) account holdings, and any related account(s) to determine if a breakpoint is applicable. When selling B Shares, I certify that I have discussed the possibility of a back-end load with the customer(s) and have completed and submitted the Mutual Fund Disclosure form with this ticket.

Rep Signature _____ Date _____



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Point of Sale Form: (Load purchases not done at NAV)

You may be entitled to a discount ("breakpoint") on the front-end sales charge of your mutual fund purchase. Generally, breakpoints are eligible in the following circumstances:

- 1) **Dollar Amount:** You may be entitled to a lower front-end sales load based on a single mutual fund transaction if the dollar size of the transaction exceeds one or more breakpoints. For example, a mutual fund might charge you a front-end sales load of 5.75% for all purchases of less than \$50,000, but reduce the load to 4.50% for investments between \$50,000 and \$99,999, and further reduce or eliminate the sales load for even larger investments.
- 2) **Rights of Accumulation:** A right of accumulation ("ROA") typically gives you a discount on your current mutual fund purchases by combining both your current and previous fund transactions to reach a breakpoint. For example, if you are investing \$10,000 in a fund today, but previously had invested \$40,000, those amounts can be combined to reach a \$50,000 breakpoint, which will entitle you to a lower sales load on your \$10,000 purchase.
- 3) **Letter of Intent:** If you are planning to make additional investments over the coming months, you might still be able to obtain a reduced sales charge by means of a letter of intent ("LOI"). An LOI is a statement you sign that expresses your intent to invest an amount over the breakpoint within a given period of time specified by the fund. Many fund companies permit you to include purchases completed within 90 days before the LOI is signed and within 13 months after the LOI is signed in reaching the dollar amount of the breakpoint threshold. Please refer to the respective mutual fund's prospectus for specific eligibility requirements including their policy on "linking" and/or "house holding" which involves aggregating an investor's ownership of different funds in the same mutual fund family, shares owned by the investor in different accounts, or shares owned by persons related to the investor for purposes of receiving breakpoint discounts.

Please be advised that purchases of back-end load funds (typically classified as B or C shares) may be subject to a sales charge upon redemption. Please refer to fund prospectus for further details. Furthermore, please be aware that we may need additional information on your previous purchases or holdings outside of MoneyBlock (including purchase dates, amounts, and brokerage firm).

* **(FEE-BASED / NAV COMMISSIONABLE) / (FEE-BASED / NAV WARP):** Select Fee-Based / NAV Commissionable if the account has an approved fee-based advisory agreement on file and the ticket charge is passed through to the customer. Select **Fee-Based / NAV Wrap** if the account has an approved fee-based advisory agreement on file and the ticket charge is being absorbed by you, the advisor.

We will review trading activity and request verification for documentation through periodic surveillance or office visits.