MoneyBlock™
Member FINRA | SIPC

Acct #__________________ Branch #_________ Rep #_________ Date________________

## Mutual Fund Investment Switch Comparison

Mutual funds are generally considered a long term investment. A replacement of a currently held mutual fund may or may not be in your best interest. You should make a careful comparison of your existing mutual fund holdings. Please fill out the following information if you are switching form one mutual fund family to another. Please not that switches within the same fund family do not apply.

| **Current Mutual Funds Investment(s)** | **Proposed Mutual Fund Investment(s)** |
|---|---|
| 1) ____________________ | 1) ____________________ |
| 2) ____________________ | 2) ____________________ |
| 3) ____________________ | 3) ____________________ |
| 4) ____________________ | 4) ____________________ |
| 5) ____________________ | 5) ____________________ |

Date of Original Investment.________________________________________

Back End sales charge on current mutual fund investment.________________________________________

Front End sales charge on the new mutual fund investment.________________________________________

Will the mutual fund switch create a taxable event?________________________________________

Capital Gain or Loss Involved?________________________________________

Reasons for the Switch.________________________________________

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**REQUIRED SIGNATURE**

- I/We acknowledge that I/We have read and understood the applicable product statements discussed within this form. I/We believe this product meets my/our investment objectives.
- I/We have received a disclosure document, called a prospectus that explains this product and provides me/us with the information needed to make an informed investment decision. I/We should read it carefully and maintain the prospectus for future reference.
- I/We understand that this transaction is subject to processing and approval and that my funds may not be immediately invested.
- I/We acknowledge that I/We have received and understand the terms and conditions of the customer agreement that will govern my account and agree to be bound by that agreement as currently in effect and as amended from time to time.
- The customer agreement contains pre-dispute arbitration clauses located in section 15 of the agreement.
- I/We represent that all information supplied by me/us is accurate and complete and that you are legally entitled to rely on such information, and agree to report promptly to you any material change in such information. I/We understand that if any items are left blank in this Agreement, I/We will be deemed to have declined to provide such information.

**ADDITIONAL NOTES**

Other issues discussed between customer and RR, such as particular investment objectives or goals discussed and why particular recommendation was made.

| | | |
|---|---|---|
| Primary Account Owner or Custodian's name (print) | Signature | Date |
| Joint Account Owner's Name (Print) | Signature | Date |
| Registered Representative's Name (Print) | Signature | Date |
| Principal Name (Print) | Signature | Date |