



## CLASS A AND CLASS C SHARES

A financial advisor can help evaluate your financial planning needs and help set your investment objectives. Please work with a financial advisor to open your account and provide their information under the Dealer Information section of this form. Fund of Funds Lp Investments LLC is a limited- purpose broker-dealer and does not provide brokerage services or any financial advice.

Payment can be made by electronic transfer from your checking or savings account, or check.

Fund of Funds Lp Funds does not accept payment by cash, temporary/starter checks, credit cards, traveler's

checks, credit card checks, money orders, checks drawn on non-U.S. banks (even if payment

may

be effected through a U.S. bank), foreign checks or debit cards.

If paying by check, please make it payable to "Fund of Funds Lp Family of Funds" and send it with this application.

**IMPORTANT INFORMATION ABOUT OPENING A NEW ACCOUNT** To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify and record information that identifies each

investor that opens an account. Certain institutions like Mutual Fund Companies, are also required to obtain, verify and record information about the beneficial owners and control persons of legal entity customers.

**What this means for you:** When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. In addition, we may also ask

to select only ONE type of registration below. Other identifying documents.

### A. Individual\* (Complete Section A only)

Name (First, Middle Initial, Last) \_\_\_\_\_

Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Social Security Number \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

U.S. Citizen Resident Alien Other \_\_\_\_\_

### B. Joint Account\* (Complete Section A and B. Individual in Section A will be primary account owner.)

Name (First, Middle Initial, Last) \_\_\_\_\_

Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Social Security Number \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

U.S. Citizen Resident Alien Other \_\_\_\_\_

1. ACCOUNT REGISTRATION( continued)

C. UGMA or UTMA (Complete Section C only)

Custodian's Name (First, Middle Initial, Last) \_\_\_\_\_

Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ Social Security Number \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Minor's Name (Only one per account) \_\_\_\_\_

Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ Social Security Number \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

U.S. Citizen Resident Alien Other \_\_\_\_\_

D. Trust (Complete Section D only)

Name of Trust \_\_\_\_\_

Trust Agreement Date (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Trustee's Name (First, Middle Initial, Last) \_\_\_\_\_

Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ Social Security Number \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Trustee's Name (First, Middle Initial, Last) \_\_\_\_\_

Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ Social Security Number \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Account will be established under (select one):

Tax ID Number \_\_\_\_\_ o\_r \_\_\_\_\_ Social Security Number \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Please provide copies of ONE of the following documents to properly establish your account:

nTitle and signature page of Trust Agreement

nCertificate of Trust which contains the name of the trust, the names of the trustees and the signatures of the trustees

nCertificate of Incumbency

E. Corporation (Complete Section E and Section 15 :Certification Regarding Beneficial Owners of Legal Entity Customers)

Name \_\_\_\_\_

Tax ID Number \_\_\_\_\_

S Corporation\* C Corporation

A copy of the Secretary's Certificate, Articles of Incorporation, LLC Agreement or Business License are needed to establish the account. A Corporate Resolution is not required but should be sent to establish Authorized Signers.

\* The cost basis regulation removes the exemption from Form 1099-B reporting by S-Corporations. Please see Section 5: Cost Basis Election.

F. Partnership (Complete Section F and Section 15 :Certification Regarding Beneficial Owners of Legal Entity Customers)

Name \_\_\_\_\_

Tax ID Number \_\_\_\_\_

The Bylaws or Partnership Agreement are needed.

## 2. MAILING ADDRESS AND TELEPHONE NUMBER

Mailing Address \_\_\_\_\_

(If you provide a P.O. Box, you must fill out Physical Address below)

Suite/Apt. No. \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Daytime Telephone Number ( ) \_\_\_\_\_

Additional Telephone Number (Optional) ( ) \_\_\_\_\_

Physical Address \_\_\_\_\_

(Required if different from above)

Suite/Apt. No. \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

## 3. TRUSTED CONTACT INFORMATION

In conjunction with new FINRA Rule 2165 and amendments to FINRA Rule 4512, that became effective on February 5, 2018, we are seeking to obtain the name and contact information for a “trusted contact” person for shareholder accounts. We could reach out to the “trusted contact” if, for example, we were unable to contact you after multiple attempts, or if you became subject to a disability, or we had reason to believe that you were being abused or exploited by a third party.

If you choose to provide information about a trusted contact person, you agree that the trusted contact you have listed below may be

contacted

by the firm about your account. You are also agreeing that the firm, or an associated person of the firm, is authorized to contact the trusted

contact, and disclose information about your account, to address possible financial exploitation, to confirm the specifics of your current

contact

information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by

FINRA Rule 2165. You are not required to provide a trusted contact person to us.

Please note, assigning a trusted contact does not give the trusted contact any discretionary authority over your account; accordingly, the individual you list, on the basis of being listed as a trusted contact, will not be able to make purchases, effectuate sales or disbursements, or

## 4. DEALER INFORMATION

In order to establish an account, a third party registered representative is required to be listed below. A third party registered representative help evaluate your financial planning needs and help set your investment objectiveFsO. F Investments LLC is a limited-purpose broker-dealer and does not provide brokerage services or any financial advice.

Dealer Name \_\_\_\_\_

Representative's Name (First, Middle Initial, Last) \_\_\_\_\_

Rep ID Number \_\_\_\_\_ Representative's Branch Office Number \_\_\_\_\_

Branch Office Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Telephone Number ( ) \_\_\_\_\_

**Dealer Home Office Address:**

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_ Telephone

Number ( ) \_\_\_\_\_

Address \_\_\_\_\_

## 5. COST BASIS ELECTION

The Internal Revenue Service (IRS) requires mutual fund companies to report cost basis information to shareholders and to the IRS on mutual fund shares acquired and subsequently redeemed after January 1, 2012 (hereinafter referred to as “covered shares”). This regulation removes the 1099-B reporting exemption for redemptions by S-Corporations. C-Corporations retain their exempt status. To comply with this regulation, we ask that you choose one of the following cost basis methods for your new account. You may wish to consult your tax advisor to determine which method best suits your individual tax situation. When a cost basis reporting method is not specified, Average Cost will be applied until revoked or changed by you.

**Average Cost (ACST):** Values the cost of covered shares in an account by averaging the effect of all covered transactions. The average cost is calculated by taking the cumulative dollar cost of the covered shares owned and dividing it by the number of covered shares in the account. Non-covered shares are calculated separately from covered shares and are not reported to the IRS.

**First In, First Out (FIFO):** Depletes shares beginning with the earliest acquisition date.

**Last In, First Out (LIFO):** Depletes shares beginning with the latest acquisition date.

**High Cost, First Out (HIFO):** Depletes shares beginning with shares purchased at the highest cost.

**Low Cost, First Out (LOFO):** Depletes shares beginning with shares purchased at the lowest cost.

**Loss/Gain Utilization (LGUT):** Evaluates losses and gains and then selects lots based on that gain/loss in conjunction with a holding period.

**Specific Lot Identification (SLID):** You will need to designate specific shares to redeem at the time you place your redemption request. A secondary accounting method must also be selected below and will only be activated if the lots chosen are no longer available. If a secondary accounting method is not selected, First In, First Out will be applied until revoked or changed by you. Please note that Average Cost cannot be used as a secondary accounting method.

First In, First Out (FIFO)      Low Cost, First Out (LOFO)      Loss/Gain Utilization (LGUT)  
Last In, First Out (LIFO)  
High Cost, First Out (HIFO)

### ***A few things to note:***

- n Your cost basis election method will be applied to ALL current and future fund positions for ALL of your accounts unless otherwise indicated. If you wish to select a different method for different funds contained within this form, please indicate as such. If you need additional space to indicate your selections, attach a separate page that includes all of the information requested above. Sign and date the page.
- n If a method is not selected, your account will default to the Average Cost (ACST) method until revoked or changed. Please note that if you have selected the Average Cost method for existing shares and a redemption has occurred, this method cannot be revoked for these shares.
- n However, a new method can be selected for new shares purchased in this account. Note that Fund of Funds Lp is unable to provide tax advice related to specific investments or accounts. Please consult your tax advisor to determine which method is most appropriate for you.
  
- n For 1099-B reportable accounts, any gains or losses on redeemed covered shares will be calculated and reported to the IRS in accordance with your cost basis election method.

**6. FUND SELECTION(S)**

List the fund and class of shares you are purchasing and indicate the amount or percentage to be invested per fund. A complete list of funds is at the end of this account application. (See “Classes of Shares” and “Purchases, Redemptions and Exchanges” in the prospectus for detailed information on each share class.)

The minimum initial investment is \$1,000 per fund but may be lowered to \$250 with an Automatic Investment Plan. If establishing an Automatic Investment Plan, please complete section 9.

Please indicate how you will make your initial purchase:

**Check**

Electronic transfer from the bank account provided in Section 12 (The initial purchase will normally be debited from your bank account up to 2-3 business days after the application is received and the account is established.)

Fund name and share class	Fund ticker / Fund number	Investment amount <sup>1</sup>
1. _____	2. _____	\$ _____ or _____ % \$
_____	3. _____	_____ or _____ % \$
_____	4. _____	_____ or _____ % \$
_____	5. Other: _____	_____ or _____ % \$
_____	_____	_____ or _____ %
		TOTAL: \$ _____ or _____ %

If you have additional selections, attach a separate page that includes all of the information requested above.

Sign and date the page.

Class A shares are an initial sales charge alternative, while class C shares are an asset-based sales charge alternative. For class A shares, you may be eligible for breakpoint discounts

<sup>1</sup> based on the size of your purchase, current holdings or future purchases. Please refer to Fund of Funds Lp Funds Important Investor Information Regarding Breakpoints below, the

<sup>2</sup> Fund of Funds Lp Funds

prospectuses and statements of additional information or contact your financial advisor for further information.

**7. TELEPHONE TRANSACTIONS**

Please accept or decline the right to transact via telephone for the below privileges. If you would like to link these privileges to your bank account so that purchases and redemptions can be debited/credited electronically, you must provide banking instructions in Section 12.

Purchases           Accept Decline  
 Exchanges           Accept Decline  
 Redemptions        Accept Decline

**If you would like to make purchase and redemptions by wire, check here:** (Your bank may charge addition wire transactions)

**Please note that if you do not make an election, your account will automatically be coded to allow telephone transaction privileges mentioned above.** Fund of Funds Lp

Funds may accept telephone instructions from any person identifying himself/herself as the owner of an account or the owner's dealer representative provided that Fund of Funds Lp follows reasonable procedures and believes the instructions to be genuine. Thus, you risk potential losses in the event of an unauthorized telephone request. If bank account information is provided in Section 12, purchases and redemptions will be debited or credited directly to the bank account listed upon written or oral authorization. If elected, all wire instructions must be received in good order by Fund of Funds Lp prior to NYSE close (or as otherwise noted in the prospectus) on the day your wire is received in order to receive that day's NAV. Due to mandatory cost basis regulations, for 1099-B reportable accounts, any gains or losses on mutual fund shares acquired and subsequently redeemed after January 1, 2012 will be reported to the IRS in accordance to your cost basis election method.

**8. DIVIDEND AND CAPITAL GAIN DISTRIBUTIONS**

Select your dividend and capital gain distribution method. Check one box for dividends and/or one box for capital gains. If not specified, dividends and capital gains will be reinvested in the fund that pays them.

Reinvest in the same fund.	Dividends	Capital Gains
Reinvest in a different fund:		
Reinvest from fund _____ to fund _____	Reinvest from fund _____	Reinvest from fund _____
_____ _C_a_p Ditaivl iGdeanindss	_____ _C_a_p Ditaivl iGdeanindss	_____ _C_a_p Ditaivl iGdeanindss
Reinvest from fund _____ to fund _____	Reinvest from fund _____	Reinvest from fund _____
_____ _C_a_p Ditaivl iGdeanindss	_____ _C_a_p Ditaivl iGdeanindss	_____ _C_a_p Ditaivl iGdeanindss
Pay in cash: _____ to fund _____	_____ _C_a_p Ditaivl iGdeanindss	_____ _C_a_p Ditaivl iGdeanindss
Deposit in my bank account via electronic transfer. (Must complete Section 12 to establish banking instructions)	Dividends	Capital Gains
Pay by check to account mailing address listed in Section 2.	Dividends	Capital Gains
Pay by check to a third party below:	Dividends	Capital Gains

Third Party Name \_\_\_\_\_  
 Third Party Address \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

9. AUTOMATIC INVESTMENT PLAN

Please establish an automatic investment plan for the funds and amounts listed below.\* (Please complete banking information in Section 12)

**Investment Schedule:**

Transactions should occur                      Monthly                      Quarterly                      Semi-annually                      Annually

Transactions should begin \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ (mm/dd/yyyy)

Fund Name \_\_\_\_\_ Class A    Purchase Amount \_\_\_\_\_  
 (\$50 minimum per fund)

Fund Name \_\_\_\_\_ Class A    Class C    Purchase Amount \_\_\_\_\_  
 (\$50 minimum per fund)

If you have additional selections, attach a separate page that includes all of the information requested above. Sign and date the page. Fund of Funds Lp Funds will code an account as lost when the United States Post Office or another carrier returns mailing(s) sent to the shareholder by Fund of Funds Lp Funds as undeliverable. Once an account is deemed lost, for the shareholder's protection, Fund of Funds Lp Funds will stop any automatic investment plan on the account. Additionally, once Fund of Funds Lp Funds confirms a shareholder is deceased, any automatic investment plan on the accounts will be stopped. \* A \$250 minimum investment is required to open a new fund position through the Automatic Investment Plan. Automatic investments are subject to the following conditions. Your cost basis election method will be applied to all future funds added to ALL of your accounts unless otherwise indicated by you. Your bank account will be charged on or about the date of each investment as shown above. The privilege of making investments via an automatic investment plan may be revoked by Fund of Funds Lp Funds without prior notice if any check is not paid upon presentation. Fund of Funds Lp Funds shall be under no obligation to notify the undersigned as to the non-payment of any check. Automatic investment plan may be discontinued by Fund of Funds Lp Funds upon thirty (30) days' written notice prior to any investment date or by the undersigned at any time by written notice to Fund of Funds Lp Funds, provided such notice is received at least ten (10) business days prior to the due date of any investment.

10. AUTOMATIC EXCHANGE PLAN

Due to mandatory cost basis regulations, for 1099-B reportable accounts, any gains or losses on mutual fund shares acquired and subsequently redeemed after January 1, 2012 will be reported to the IRS in accordance with your cost basis election method.

Please establish a new automatic exchange plan for the funds and amounts listed below.\*

**Auto Exchange Schedule:**

Exchanges should occur                      Monthly                      Quarterly                      Semi-annually                      Annually

Amount of Exchange \_\_\_\_\_ Exchanges should begin \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ (mm/dd/yyyy)  
 (\$50 minimum per fund)

From: Fund Name \_\_\_\_\_ Account Number \_\_\_\_\_

Please make the exchange to the following Fund of Funds Lp Funds \_\_\_\_\_ Account Number \_\_\_\_\_  
 account:

If you have additional selections, attach a separate page that includes all of the information requested above. Sign and date the page. Fund of Funds Lp Funds will code an account as lost when the United States Post Office or another carrier returns mailing(s) sent to the shareholder by Fund of Funds Lp Funds as undeliverable. Once an account is deemed lost, for the shareholder's protection, Fund of Funds Lp Funds will stop any automatic exchange plan on the account. Additionally, once Fund of Funds Lp Funds confirms a shareholder is deceased, any automatic exchange plan on the accounts will be stopped. \* A \$1,000 minimum exchange is required to open a new account or fund position through the Automatic Exchange Plan. If the new account will have a different registration, you will also need to complete a Fund of Funds Lp Funds Account Application. Fund of Funds Lp Funds may discontinue the automatic exchange upon written notice 30 days prior to any exchange date, or by the above-signed shareholder at any time at least ten (10) business days prior to an exchange date.

11. AUTOMATIC WITHDRAWAL PLAN

A minimum account balance of \$10,000 is required for an automatic withdrawal plan to be established on an account. Due to mandatory cost basis regulations, for 1099-B reportable accounts, any gains or losses on mutual fund shares acquired and subsequently redeemed after January 1, 2012 will be reported to the IRS in accordance with your cost basis election method.

Please establish an automatic withdrawal plan for the following funds and amounts.

Withdrawal Schedule:

Transactions should occur Monthly Quarterly Semi-annually Annually
Transactions should begin \_\_\_\_/\_\_\_\_/\_\_\_\_(mm/dd/yyyy)
Fund Name \_\_\_\_\_ Class A Class C Withdrawal Amount \_\_\_\_\_ (\$50 minimum per fund)

Note: This can result in the liquidation of the account in the event the periodic distribution amount exceeds the current account balance. If you have additional selections, attach a separate page that includes all of the information requested above. Sign and date the page.

Please Send Redemption Proceeds to:

Mailing address listed in Section 2

Bank account via electronic transfer (Must complete Section 12 to establish banking instructions)

Third party payee as follows:

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Fund of Funds Lp Funds will code an account as lost when the United States Post Office or another carrier returns mailing(s) sent to the shareholder by Fund of Funds Lp Funds as undeliverable. Once an account is deemed lost, for the shareholder's protection, Fund of Funds Lp Funds will stop any automatic redemption plan on the account.

Withdrawals will be sent to account registration address or to the bank account in Section 12 via electronic transfer, unless otherwise specified. If you are authorizing redemption proceeds to be sent to a bank account, those proceeds will normally post to your bank account up to 3 business days after the date you have selected to have the redemption(s) processed.

12. BANK ACCOUNT INFORMATION

Please provide information on the bank account you would like to link your Fund of Funds Lp Funds account.

Type of Account (Select one):

Checking Account (Please attach a pre-printed voided check.\*)

Savings Account (Please attach a voided deposit slip.\*)

Signature of Bank Account Owner(s) (Required):

Signature X \_\_\_\_\_ Date \_\_\_\_\_

Signature X \_\_\_\_\_ Date \_\_\_\_\_

(If multiple account owners listed on Checking or Savings Account, all must sign.)

\*Alternatively if unavailable, Fund of Funds Lp Funds will accept a letter on bank letterhead, signed by a bank employee confirming the bank account type, registration, account number and routing number



12. BANK ACCOUNT INFORMATION (continued)

Tape your voided check or deposit slip here.\*

VOID

John A. Sample  
123 Same Street  
Anywhere, USA 12345

0000

Date \_\_\_\_\_

Pay to the Order of: \_\_\_\_\_

\$ \_\_\_\_\_  
DOLLARS

ANY BANK USA

Memo: \_\_\_\_\_

|: 000000000 |: 000000000 || 0000

Bank Account Registration —

Bank Name —

Bank Routing Number —

Bank Account Number —

13. REDUCED SALES CHARGE FOR CLASS A SHARES (choose one only)

**Right of Accumulation:** own shares in other Fund of Funds Lp Funds which may entitle this purchase to a reduced sales charge under the

Existing Account Name \_\_\_\_\_ Account Number \_\_\_\_\_

Existing Account Name \_\_\_\_\_ Account Number \_\_\_\_\_

**Letter of Intent (LOI)\*:** I agree to the Letter of Intent conditions stated in the current prospectus. I intend to invest, within a 13-month

period beginning on the establish date, in shares of the fund(s) purchased with this application, an aggregate amount which, together with the value of shares of any eligible funds owned by me on the establish date, will be at least equal to:

Establish NEW LOI: \$50,000    \$100,000    \$250,000    \$500,000    \$1,000,000

Add to EXISTING LOI: Existing Account Name \_\_\_\_\_ Account Number \_\_\_\_\_

\* The maximum intended investment amount allowable in a Letter of Intent is \$1,000,000 (except for Class A shares of the Fund of Funds Lp California Intermediate Municipal Bond, Fund of Funds Lp California Municipal Bond, Fund of Funds Lp California Short Duration Municipal Income, Fund of Funds Lp Floating Income, Fund of Funds Lp High Yield Municipal Bond, Fund of Funds Lp Low Duration, Fund of Funds Lp Municipal Bond, Fund of Funds Lp National Intermediate Municipal Bond, Fund of Funds Lp New York Municipal Bond, Fund of Funds Lp Senior Floating Rate, Fund of Funds Lp Short Asset Investment, Fund of Funds Lp Short-Term and Fund of Funds Lp Short Duration Municipal Income Funds, for which the maximum intended investment amount is \$250,000).

**NAV Eligibility:** I am entitled to buy Class A Shares at NAV because (explain) \_\_\_\_\_

If you are a registered representative or full-time employee of a participating broker-dealer or your relationship to the registered representative/full-time employee allows for NAV purchases per the statement of additional information, you must also have an

NAV  
Certification for Financial Advisors” form completed.

14. SIGNATURE(S) AND CERTIFICATION

I/We understand that my/our account will be automatically subject to certain telephone privileges unless I/we restrict such privileges under Section 7 and that SS&C Global Investor & Distribution Solutions, Inc., and Fund of Funds Lp Funds and their affiliated persons and service providers shall not be liable for any loss incurred by me/us by reason of accepting unauthorized telephone requests for my/our account provided that Fund of Funds Lp Funds

I/we am/are of legal age to purchase shares pursuant to this application and have received and reviewed a current prospectus for the Fund of Funds Lp. I/we intend to purchase and agree to be bound by all the terms, conditions and account features selected in any and all parts of this Application and the prospectus. A copy of the current prospectus(es) can be accessed at Fund of Funds Lp.com. Additionally, the undersigned agree(s) that I/we will access and review an applicable then current prospectus for any additional Fund of Funds Lp Funds that I/we may purchase in the future prior to completing any of each such Fund of Funds Lp Funds and in each case agree(s) to be bound by applicable then current terms, conditions and account features in each then applicable prospectus. Further, I/we understand that I/we may choose between two share classes. I/we am/are aware of the fee

14. SIGNATURE(S) AND CERTIFICATION (continued)

structures for the two share classes and have selected the class best suited to my/our investment objectives. If I/we am/are requesting that a trust account be opened, I/we certify that (i) I/we am/are the Trustee(s) of said Trust (ii) I/we have provided a copy of the trust agreement; and (iii) I/we certify that the trust is still in existence and none of the conditions for termination have occurred. Under penalty of perjury, I certify that: (i) the number shown in Section 1 is my correct Social Security/Tax Identification Number or Government Issued ID number, or I have applied, or will apply, for such a number and will provide it within sixty (60) days after signing this application [if I don't supply such a number within sixty (60) days, I am subject to withholding tax] and (ii) I am not subject to backup withholding because the IRS (a) has not notified me that I am subject to backup withholding as a result of failure to report all interest or dividends, or (b) has rescinded a previously imposed backup withholding requirement. I am aware that if the Social Security/Tax Identification Number or Government Issued ID number I have provided is incorrect, I am subject to backup withholding, (iii) I am a U.S. Person (including a U.S. Resident Alien), and (iv) if

applicable, to the best of my knowledge, the information provided in section 15 is complete and correct. I/We understand that in accordance with applicable state regulations, my/our account balance may be transferred to the appropriate state if no activity occurs in the account within the time period specified by state law. I/We represent I/we understand that one copy of prospectuses and annual/semiannual reports will be mailed to a single household ("householding"), thereby eliminating wasteful duplication, and a household is defined as two or more individuals with the same last name and address. [ ] Check here if you do not want your account to be combined with others in your household. If you are subject to backup withholding, please cross out number (ii) above. The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Sign exactly as the account is to be registered:

Signature of account owner, trustee, executor/executrix, general partner, etc.

X \_\_\_\_\_ Date \_\_\_\_\_ Title of  
Officer, Trustee, etc. \_\_\_\_\_  
(If applicable)

Signature of joint account owner, co-trustee, executor/executrix, general partner, etc.

X \_\_\_\_\_ Date \_\_\_\_\_ Title of  
Officer, Trustee, etc. \_\_\_\_\_  
(If applicable)

**15. CERTIFICATION REGARDING BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS**

Control Person (required): For one individual with significant responsibility for managing the legal entity listed above, such as:

- An executive officer or senior manager (e.g., Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, Treasurer); or
- Any other individual who regularly performs similar functions.

First Name \_\_\_\_\_ Last Name \_\_\_\_\_

Address \_\_\_\_\_

(Residential or Business Address; P.O. Box is not allowed)

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Date of Birth (mm/dd/yyyy) \_\_\_\_\_ Social Security Number (US Person)

\_\_\_\_\_ Passport Number (Non-US Person) \_\_\_\_\_ Country of Issuance

\_\_\_\_\_ Citizenship: US Citizen US Resident Alien Non-US Ownership Distinctions: Ownership

Beneficial Owners: Persons opening an account on behalf of a legal entity must provide the following information for individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 25 percent or more of the

equity interests of the legal entity listed above (If no individual meets this definition, please write "Not Applicable.") First Name

\_\_\_\_\_ Last Name \_\_\_\_\_ Address

\_\_\_\_\_ (Residential or Business Address; P.O. Box is not allowed)

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Date of Birth (mm/dd/yyyy) \_\_\_\_\_ Social Security Number (US Person)

\_\_\_\_\_ Passport Number (Non-US Person) \_\_\_\_\_ Country of Issuance

\_\_\_\_\_ Citizenship: US Citizen US Resident Alien Non-US

First Name \_\_\_\_\_ Last Name \_\_\_\_\_

Address \_\_\_\_\_

(Residential or Business Address; P.O. Box is not allowed)

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Date of Birth (mm/dd/yyyy) \_\_\_\_\_ Social Security Number (US Person)

\_\_\_\_\_ Passport Number (Non-US Person) \_\_\_\_\_ Country of Issuance

\_\_\_\_\_ Citizenship: US Citizen US Resident Alien Non-US

If there are additional individuals, attach a separate page that includes all of the information requested above. Sign and date the page.

In lieu of a passport number, foreign persons may also provide an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

Legal Entity Identifier \_\_\_\_\_ (Optional)

# Fund of Funds Lp Class A and Class C Shares Fund List and Identifiers

FUND NAME	CLASS	TICKER	FUND NUMBER
Fund of Funds Lp All Asset All Authority Fund Fund of Funds	Class A	PAUAX	4019
Lp All Asset All Authority Fund Fund of Funds Lp All Asset Fund	Class C	PAUCX	4219
Fund of Funds Lp All Asset Fund Fund of Funds Lp California	Class A	PASAX	4018
Intermediate Municipal Bond Fund Fund of Funds Lp California	Class C	PASCX	4218
Intermediate Municipal Bond Fund Fund of Funds Lp California	Class A	PCMBX	4038
Municipal Bond Fund Fund of Funds Lp California Municipal	Class C	PCFCX	4238
Bond Fund Fund of Funds Lp California Short Duration	Class A	PCTTX	6040
Municipal Income Fund Fund of Funds Lp Climate Bond Fund	Class C	PCTGX	6240
Fund of Funds Lp Climate Bond Fund Fund of Funds Lp	Class A	PCDAX	4117
CommoditiesPLUS® Strategy Fund Fund of Funds Lp	Class A	PCEBX	8087
CommoditiesPLUS® Strategy Fund Fund of Funds Lp	Class C	PCECX	8287
CommodityRealReturn Strategy Fund® Fund of Funds Lp	Class A	PCLAX	6016
CommodityRealReturn Strategy Fund® Fund of Funds Lp Credit	Class C	PCPCX	6216
Opportunities Bond Fund Fund of Funds Lp Credit	Class A	PCRAX	4049
Opportunities Bond Fund Fund of Funds Lp Diversified Income	Class C	PCRCX	4249
Fund Fund of Funds Lp Diversified Income Fund Fund of Funds	Class A	P ZCR X	6033
Lp Dividend and Income Fund Fund of Funds Lp Dividend and	Class C	P CCR X	6233
Income Fund Fund of Funds Lp Dynamic Bond Fund Fund of	Class A	PDVAX	4033
Funds Lp Dynamic Bond Fund Fund of Funds Lp Emerging	Class C	PDICX	4233
Markets Bond Fund Fund of Funds Lp Emerging Markets Bond	Class A	PQIZX	6036
Fund Fund of Funds Lp Emerging Markets Currency and Short-	Class C	PQICX	6236
Term Investments Fund Fund of Funds Lp Emerging Markets	Class A	PUBAX	4086
Local Currency and Bond Fund Fund of Funds Lp Emerging	Class C	PUBCX	4286
Markets Local Currency and Bond Fund Fund of Funds Lp ESG	Class A	PAEMX	4001
Income Fund Fund of Funds Lp ESG Income Fund Fund of	Class C	PEBCX	4201
Funds Lp Global Advantage® Strategy Bond Fund Fund of	Class A	PLMAX	4029
Funds Lp Global Bond Opportunities Fund (U.S. Dollar-Hedged)	Class A	PELAX	4032
Fund of Funds Lp Global Bond Opportunities Fund (U.S. Dollar-	Class C	PELCX	4232
Hedged) Fund of Funds Lp Global Core Asset Allocation Fund	Class A	PEGAX	8090
Fund of Funds Lp Global Core Asset Allocation Fund Fund of	Class C	PEGBX	8290
Funds Lp GNMA and Government Securities Fund Fund of	Class A	PGSAX	4087
Funds Lp GNMA and Government Securities Fund Fund of	Class A	PAIIX	4011
Funds Lp Government Money Market Fund Fund of Funds Lp	Class C	PCIIX	4211
Government Money Market Fund Fund of Funds Lp High Yield	Class A	PGMAX	4090
Fund Fund of Funds Lp High Yield Fund Fund of Funds Lp High	Class	PGMCX	4290
Yield Municipal Bond Fund Fund of Funds Lp High Yield		PAGNX	4055
Municipal Bond Fund Fund of Funds Lp High Yield Spectrum		PCGNX	4255
Fund Fund of Funds Lp High Yield Spectrum Fund Fund of		AMAXX	4099
Funds Lp Income Fund Fund of Funds Lp Income Fund Fund of		AMGXX	4299
Funds Lp Inflation Response Multi- Asset Fund Fund of Funds		PHDAX	4006
Lp International Bond Fund (U.S. Dollar-Hedged) Fund of		PHDCX	4206
Funds Lp International Bond Fund (U.S. Dollar-Hedged) Fund		PYMAX	4025
of Funds Lp International Bond Fund (Unhedged) Fund of		PYMCX	4225
Funds Lp International Bond Fund (Unhedged) Fund of Funds		PHSAX	6020
Lp Investment Grade Credit Bond Fund Fund of Funds Lp		PHSCX	6220
Investment Grade Credit Bond Fund Fund of Funds Lp Long		PONAX	4021
Duration Total Return Fund Fund of Funds Lp Long Duration		PONCX	4221
Total Return Fund Fund of Funds Lp Long- Term U.S.		PZRMX	6034
Government Fund Fund of Funds Lp Long-Term U.S.		PFOAX	4007
Government Fund Fund of Funds Lp Low Duration Credit Fund		PFOCX	4207
Fund of Funds Lp Low Duration Credit Fund Fund of Funds Lp		PFUAX	4042
Low Duration Fund Fund of Funds Lp Low Duration Fund Fund		PFRCX	4242
of Funds Lp Low Duration Income Fund Fund of Funds Lp Low		PBDAX	4051
Duration Income Fund Fund of Funds Lp Mortgage		PBDCX	4251
Opportunities and Bond Fund		PLRAX	8084
		PLRCX	8204
		PFGAX	4003
		PFGCX	4203
		PSRZX	6026
		PSRWX	6226
		PTLAX	4004
		PTLCX	4204
		PFIAX	4041
		PFNCX	4241
		PMZAX	6044

# Fund of Funds Lp Class A and Class C Shares Fund List and Identifiers

(continued)

FUND NAME	CLASS	TICKER	FUND NUMBER
Fund of Funds Lp Mortgage Opportunities and Bond	Class C	PMZCX	6244
Fund Fund of Funds Lp Mortgage-Backed Securities	Class A	PMRAX	4014
Fund Fund of Funds Lp Mortgage- Backed Securities	Class C	PMRCX	4214
Fund Fund of Funds Lp Municipal Bond Fund Fund of	Class A	PMLAX	4012
Funds Lp Municipal Bond Fund Fund of Funds Lp	Class C	PMLCX	4212
National Intermediate Municipal Bond Fund Fund of	Class A	PMNTX	6041
Funds Lp National Intermediate Municipal Bond Fund	Class C	PMNNX	6241
Fund of Funds Lp New York Municipal Bond Fund Fund	Class A	PNYAX	4037
of Funds Lp New York Municipal Bond Fund Fund of	Class C	PBFCX	4237
Funds Lp Preferred and Capital Securities Fund Fund of	Class A	PFANX	8021
Funds Lp Preferred and Capital Securities Fund Fund of	Class C	PFCJX	8286
Funds Lp RAE Emerging Markets Fund Fund of Funds Lp	Class A	PEAFX	8022
RAE Fundamental Advantage PLUS Fund Fund of Funds	Class A	PTFAX	4088
Lp RAE Global ex-US Fund Fund of Funds Lp RAE	Class A	PZRAX	8027
International Fund Fund of Funds Lp RAE PLUS EMG	Class A	PPYAX	8025
Fund Fund of Funds Lp RAE PLUS EMG Fund Fund of	Class A	PEFFX	6046
Funds Lp RAE PLUS Fund Fund of Funds Lp RAE PLUS	Class A	PEFCX	6246
Fund Fund of Funds Lp RAE PLUS International Fund	Class C	PIXAX	4043
Fund of Funds Lp RAE PLUS Small Fund Fund of Funds	Class A	PIXCX	4243
Lp RAE PLUS Small Fund Fund of Funds Lp RAE US Fund	Class C	PTSOX	8002
Fund of Funds Lp RAE US Small Fund Fund of Funds Lp	Class A	PCFAX	8001
RAE Worldwide Long/Short PLUS Fund Fund of Funds Lp	Class A	PCFEX	8201
RAE Worldwide Long/Short PLUS Fund Fund of Funds Lp	Class C	PKAAX	8024
Real Return Fund Fund of Funds Lp Real Return Fund	Class A	PMJAX	8023
Fund of Funds Lp RealEstateRealReturn Strategy Fund	Class A	PWL BX	8085
Fund of Funds Lp RealEstateRealReturn Strategy Fund	Class C	PWLEX	8285
Fund of Funds Lp REALPATH® Blend 2025 Fund Fund of	Class A	PRTNX	4010
Funds Lp REALPATH® Blend 2030 Fund Fund of Funds	Class C	PRTCX	4210
Lp REALPATH® Blend 2035 Fund Fund of Funds Lp	Class A	PETAX	4061
REALPATH® Blend 2040 Fund Fund of Funds Lp	Class C	PETCX	4261
REALPATH® Blend 2045 Fund Fund of Funds Lp	Class A	PPZAX	8014
REALPATH® Blend 2050 Fund Fund of Funds Lp	Class C	PBPAX	8015
REALPATH® Blend 2055 Fund Fund of Funds Lp	Class A	PDGAX	8016
REALPATH® Blend 2060 Fund Fund of Funds Lp	Class A	PVPAX	8017
REALPATH® Blend 2065 Fund Fund of Funds Lp	Class A	PVQAX	8018
REALPATH® Blend Income Fund Fund of Funds Lp Short	Class	PPQAX	8019
Asset Investment Fund Fund of Funds Lp Short Duration		PRQAX	8020
Municipal Income Fund Fund of Funds Lp Short Duration		PRBAX	8088
Municipal Income Fund Fund of Funds Lp Short-Term		PBL LX	8091
Fund Fund of Funds Lp Short-Term Fund Fund of Funds		PBRAX	8012
Lp StocksPLUS® Absolute Return Fund Fund of Funds Lp		PAIAX	6042
StocksPLUS® Absolute Return Fund Fund of Funds Lp		PSDAX	4039
StocksPLUS® Fund Fund of Funds Lp StocksPLUS® Fund		PSDCX	4239
Fund of Funds Lp StocksPLUS® International Fund (U.S.		PSHAX	4002
Dollar-Hedged) Fund of Funds Lp StocksPLUS®		PFTCX	4202
International Fund (U.S. Dollar-Hedged) Fund of Funds		PTOAX	4062
Lp StocksPLUS® International Fund (Unhedged) Fund of		PSOCX	4262
Funds Lp StocksPLUS® International Fund (Unhedged)		PSPAX	4008
Fund of Funds Lp StocksPLUS® Short Fund Fund of Funds		PSPCX	4208
Lp StocksPLUS® Short Fund Fund of Funds Lp		PIPAX	4044
StocksPLUS® Small Fund Fund of Funds Lp StocksPLUS®		PIPCX	4244
Small Fund Fund of Funds Lp Strategic Bond Fund Fund		PPUAX	4056
of Funds Lp Strategic Bond Fund Fund of Funds Lp Total		PPUCX	4256
Return ESG Fund Fund of Funds Lp Total Return ESG		PSSAX	4052
Fund Fund of Funds Lp Total Return Fund Fund of Funds		PSSCX	4252
Lp Total Return Fund Fund of Funds Lp Total Return		PCKAX	4053
Fund IV Fund of Funds Lp TRENDS Managed Futures		PCKCX	4253
Strategy Fund Fund of Funds Lp TRENDS Managed		ATMAX	6001
Futures Strategy Fund		ATMCX	6201
		PTGAX	8089
		PTGCX	8289
		PTTAX	4005
		PTTCX	4205
		PTUZX P	6032
		QTA X	6047
		PQTCX	6247