



# Roth Individual Retirement Account (IRA) Forms and Documents

CLASS A AND CLASS C SHARES

## Step-by-step instructions and the forms you need to open a Fund of Funds Lp Funds Roth IRA

Sections **Roth IRA Application:**

For investors opening a new Fund of Funds Lp Funds Roth IRA.

The minimum

investment for a Roth IRA in A or C share classes is \$1,000 per fund.

**Direct Rollover/Direct Transfer Form:** For investors transferring assets from an existing non-Roth IRA or Roth IRA into a new Fund of Funds Lp Funds Roth IRA. If you do not have an existing Fund of Funds Lp Roth IRA, you must also complete a Roth IRA Application.

**Custodial Account Agreement:** Information on the role of the custodian and your rights and restrictions as a Fund of Funds Lp Funds Roth IRA owner.

**Disclosure Statement:** General information on Roth IRAs. Keep this document for future reference.

### Instructions for Roth IRA Application

**1. Account Registration:** The information entered in this section must be complete and accurate as it will be supplied to the IRS for tax purposes. Any changes to this information should be relayed to Fund of Funds Lp Funds immediately.

**Individual:** If you are opening a Roth IRA in your name.

**Conversion (Please complete the Direct Rollover/Direct Transfer Form, if applicable):** If you are opening a Fund of Funds Lp Funds Roth IRA to receive only IRA Conversion Contributions from a non-Roth IRA.

**Rollover IRA:** If you are opening a Fund of Funds Lp Funds Roth IRA with assets that have previously been distributed from a retirement plan or Roth IRA (must attach a rollover check).

**Direct Rollover (Please complete the Direct Rollover/Direct Transfer Form):** If you are opening a Fund of Funds Lp Funds Roth IRA with assets that are coming directly from a retirement plan (Fund of Funds Lp Funds will reach out to prior custodian in an effort to facilitate a rollover on your behalf).

**Direct Transfer (Please complete the Direct Rollover/Direct Transfer Form):** If you are transferring assets from another Roth IRA held at a different institution (Fund of Funds Lp Funds will reach out to the prior institution in an effort to facilitate a transfer on your behalf).

**Inherited Roth IRA:** If the Roth IRA you are establishing will hold inherited assets (assets that you are receiving as a beneficiary of a deceased Roth IRA owner or plan participant).

## Instructions for Roth IRA Application *(continued)*

**2. Mailing Address and Telephone Number:** A physical address is required if the mailing address is a P.O. box.

**3. Trusted Contact:** An individual that can be contacted in the event you were unable to be reached after multiple attempts, or if you became subject to a disability, or if Fund of Funds Lp had reason to believe that you were being abused or exploited by a third party. A financial advisor can help evaluate your financial planning needs and help set your investment objectives. Please

**4. Dealer Information:**

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.

**5. Fund Selection(s):**

**Indicate contribution tax year:** For prior year contributions (which generally must be received on or before April 15 of the current tax year), you must indicate that such contribution is to be applied to the prior tax year. If not indicated, contribution will apply to the current tax year. Contributions received after April 15 will apply to the current tax year.

**Select fund(s) and share class:** Review the prospectus for an explanation of Fund of Funds Lp Funds' classes of shares.

**Indicate contribution/rollover amount(s):** The minimum contribution is \$1,000 per fund with subsequent investments of \$50 or more per fund. The annual contribution limit for 2018 is \$5,500 per year for an individual account and \$11,000 combined for individual and spousal accounts. However, in no event can the contribution to either account exceed \$5,500. This maximum does not apply to assets being transferred, rolled over, or converted. If you are 50 or older, however, you may contribute up to an additional \$1,000 per year.

**6. Beneficiary Designations:** Unless noted otherwise, all beneficiaries will be entitled to an equal share of the Roth IRA. If no beneficiary is provided, or none is surviving at the time of a distribution, the proceeds will be paid to the owner's estate.

**7. Telephone Transactions:** Authorize Fund of Funds Lp Funds agents to effect certain transactions based on telephone instructions from either financial advisor of record.

you or your

**8. Automatic Investment Plan:** Authorizes Fund of Funds Lp Funds' agents to automatically charge a designated bank account a set amount on a set day and to invest that amount in the designated fund(s).

Complete bank account information if you are electing to make automatic investments into your Roth IRA (Section 10: Bank Account Information). Attach a pre-printed voided check (for checking accounts) or voided deposit slip (for savings accounts).

**9. Automatic Exchange Plan:** Authorizes Fund of Funds Lp Funds' agents to automatically exchange a set amount on a set day between designated fund(s).

**10. Bank Account Information**

**11. Reduced Sales Charge for Class A shares**

**Right of Accumulation (ROA):** Please review the ROA section in the prospectus if you own shares of other Fund of Funds Lp Funds. Complete this section of the application if you are eligible for a reduced sales charge.

**Letter of Intent:** Submit this Letter of Intent if you will be purchasing enough Class A shares to qualify for a reduced sales charge. **NAV Eligibility**

**12. Signature:** Read, sign and date the application. Submit the completed forms to Fund of

Funds Lp Funds.

## Instructions for Direct Rollover/Direct Transfer Form

It is your responsibility to contact your current custodian to determine what other documents are required to complete this transfer. Please attach a copy of your most recent statement(s) from your current custodian.

**1. Account Owner Information:** Enter the requested information on yourself and the source of your investment.

**2. Current Custodian Information:** Enter the requested information on your current custodian.

**3. Type of Transfer:**

**Direct Rollover:** Rolling over assets directly from a retirement plan.

**Direct Transfer:** Transferring assets from a Roth IRA held at another institution.

**Roth Conversion IRA:** Converting IRA contributions from a non-Roth IRA held at another institution.

**4. Transfer Instructions:**

**Transfer/rollover/convert a portion of the cash proceeds:** To transfer a specific dollar amount of cash from your current plan account.

**Transfer/rollover/convert all cash proceeds:** To liquidate your current plan account and transfer all of the proceeds. **Transfer Fund of Funds Lp Funds**

**shares to a Fund of Funds Lp Funds Roth IRA:** To transfer Fund of Funds Lp Funds shares held in your current plan account (current custodian must complete Section 8: For Transfer-in-Kind Only).

**5. Fund of Funds Lp Funds Account:** If you are opening a new Fund of Funds Lp Funds Roth IRA or adding to an existing Fund of Funds Lp Funds Roth IRA, provide the Fund of Funds Account names, account numbers and the percentage of the transfer to be invested in each Fund.

**6. Signature(s):** Read, sign and date the form. Use the space provided if your current custodian requires a Medallion Signature Guarantee.

**7. Acceptance of Transfer:** This section is for UMB Bank, n.a. use only.

**8. Transfer-in-Kind Only:** Complete this section, except for the signature of the resigning custodian (and Medallion Signature Guarantee or Signature Validation Program Stamp), if you are transferring Fund of Funds Lp Funds shares.

# Roth IRA 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 who opens an account.

**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. We may also ask to see your driver's license or other identifying documents.

### 1. Account Registration

(Select only ONE type of registration below.)

#### A. Roth IRA

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

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

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

Approximate funding amount \$ \_\_\_\_\_ (there is a minimum investment of \$1,000 per fund)

#### B. Roth Conversion IRA (Complete Direct Transfer/Rollover Form, if applicable)

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

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

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

Source of funds:      IRA      SEP-IRA      SIMPLE IRA

Approximate funding amount \$ \_\_\_\_\_ (there is a minimum investment of \$1,000 per fund)

#### C. Rollover IRA (Must attach a rollover check)

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

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

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

Source of funds:      Roth IRA      Employer-Sponsored Plan (e.g., 401(a), 401(k), 403(b), governmental 457(b) plan)

Approximate funding amount \$ \_\_\_\_\_ (there is a minimum investment of \$1,000 per fund)

#### D. Direct Rollover IRA (Complete Direct Transfer/Rollover Form)

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

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

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

Approximate funding amount \$ \_\_\_\_\_ (there is a minimum investment of \$1,000 per fund)

#### E. Direct Transfer (Complete Direct Transfer/Rollover Form)

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

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

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

Approximate funding amount \$ \_\_\_\_\_ (there is a minimum investment of \$1,000 per fund)

## 1. Account Registration (continued)

**F. Inherited Roth IRA** (If you are establishing an inherited IRA account, you must also complete the Inherited IRA/Roth IRA Setup Form, available at [Fund of Funds Lp.com/forms](http://Fund of Funds Lp.com/forms)) Name (First, Middle Initial, Last)

D\_a\_t\_e\_o\_f\_B\_i\_r\_t\_h\_(m\_m/\_d\_d/\_yy\_y\_y) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

S\_o\_c\_i\_a\_l\_S\_e\_c\_u\_r\_i\_t\_y\_N\_u\_m\_b\_e\_r \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
U.S. Citizen      Resident Alien      Other \_\_\_\_\_

Decedent's Name \_\_\_\_\_

Decedent's Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Decedent's Date of Death (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Surviving Spouse      or      Non-Spousal Beneficiary

If surviving spouse, register my IRA as an:\*      Inherited (DCD) IRA      in my name (not an inherited IRA)

\*There are important tax implications to this choice - see the UMB Bank, n.a. Roth IRA Custodial Account Agreement for more information and consult a tax advisor if 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 \_\_\_\_\_

(R\_e\_q\_u\_i\_r\_e\_d\_i\_f\_d\_i\_f\_f\_e\_r\_e\_n\_t\_f\_r\_o\_m\_a\_b\_o\_v\_e\_) \_\_\_\_\_ S

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 conduct any other activity.

Trusted Contact Name \_\_\_\_\_ Relationship to Owner \_\_\_\_\_

Home Phone Number ( \_\_\_\_\_ ) \_\_\_\_\_ Cell Phone Number ( \_\_\_\_\_ ) \_\_\_\_\_

Email Address \_\_\_\_\_ Age \_\_\_\_\_

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

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

**4. Dealer Information**

In order to establish an account, a financial advisor is required to be listed below. A financial advisor can help evaluate your financial planning needs and help set your investment objectives. Fund of Funds Lp 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 \_\_\_\_\_

Dealer Home Office Address: \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

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

\_\_\_\_\_ City \_\_\_\_\_

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

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

**5. 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 available 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.)

This contribution should be for tax year \_\_\_\_\_ (Prior year contributions must be made on or before the tax return deadline, usually April 15).

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 8.

**Please indicate how you will make your initial purchase:**

Check

Electronic transfer from the bank account provided in Section 10 (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.

<sup>1</sup>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 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

<sup>2</sup> If entering percentages please be sure to only include full percentage accounts. The percentages must equal 100%.

below, the Fund of Funds Lp

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

## 6. Beneficiary Designations

Roth IRA owner (or Inherited Roth IRA owner) may designate beneficiaries below. If the primary or contingent status is not indicated, the individual or entity will be considered a primary beneficiary. After your death, the Roth IRA assets will be distributed in equal shares (unless indicated otherwise) to the primary beneficiaries who survive you. If no primary beneficiaries are living when you die, the Roth IRA assets will be distributed in equal shares (unless otherwise indicated) to the contingent beneficiaries who survive you. If no beneficiary is provided, or none is surviving at the time of a distribution, the proceeds will be paid to your estate. You may revoke or change the beneficiary designation at any time by completing a new IRA Change of Beneficiary Form and providing it to the Custodian. Any subsequent designation filed with the Custodian will revoke all prior designations.

If you need additional space to name beneficiaries, attach a separate page that includes all of the information requested below. Sign and date the page.

**Choose ONE only (If no selection is made or if you select a trust or estate beneficiary, your account will default to Per Capita):**

**Per Capita:** Only surviving named beneficiaries receive a share of the account.

**Lineal Descendants Per Stirpes (LDPS):** A beneficiary's share of the account will go to his or her descendants if the beneficiary does not survive you.

**Type:**            Primary            Contingent            Share Percentage \_\_\_\_\_%

**Relationship to IRA owner:**                                  Spouse            Nonspouse

Name \_\_\_\_\_

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

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

Taxpayer ID Number \_\_\_\_\_ Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**Type:**            Primary            Contingent            Share Percentage \_\_\_\_\_%

**Relationship to IRA owner:**                                  Spouse            Nonspouse

Name \_\_\_\_\_

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

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

Taxpayer ID Number \_\_\_\_\_ Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**Type:**            Primary            Contingent            Share Percentage \_\_\_\_\_%

**Relationship to IRA owner:**                                  Spouse            Nonspouse

Name \_\_\_\_\_

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

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

Taxpayer ID Number \_\_\_\_\_ Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

## 6. Beneficiary Designations (continued)

### Spousal Consent

Complete this section only if you, the Roth IRA owner, have your legal residence in a community or marital property state and you wish to name a beneficiary other than or in addition to your spouse as primary beneficiary. This section may have important tax consequences to you and your spouse so please consult with a competent advisor prior to completing. If you are not currently married and you marry in the future, you must complete a new beneficiary designation that includes the spousal consent provisions. If this is an Inherited Roth IRA, seek competent legal/tax advice to see if spousal consent is required.

#### Consent of Spouse

By signing below, I acknowledge that I am the spouse of the Roth IRA owner and agree with and consent to my spouse's designation of a primary beneficiary other than, or in addition to me. I have been advised to consult a competent advisor and I assume all responsibility regarding this consent. The Custodian has not provided me any legal or tax advice.

Signature of Spouse X \_\_\_\_\_ Date \_\_\_\_\_

Witness X \_\_\_\_\_ Date \_\_\_\_\_

## 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 bank instructions in Section 10.

**Purchases:**      Accept                      Decline

**Exchanges:**    Accept                      Decline

**Redemptions:** Accept                      Decline

If you would like to make purchases and redemptions by wire, check here: (Your bank may charge additional fees for wire transactions)

*If you do not make an election, your account will automatically be coded to allow telephone privileges mentioned above. Redemption requests via telephone are only available for one-time distributions. All other redemption requests must be received by mail.* Fund of Funds Lp Funds may accept telephone instructions from any person identifying himself or herself as the owner of an account or the owner's dealer representative provided that Fund of Funds Lp Funds 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 10, 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. Because your Fund of Funds Lp Funds Roth IRA is a "self-directed" Roth IRA, you are responsible for selecting the type of distribution, complying with applicable tax laws, and calculating and paying the applicable state and federal income (or estate) taxes and any penalties.

## 8. Automatic Investment Plan

### Do Not Complete this Section for Inherited Roth IRAs

Please establish an automatic investment plan for the funds and amounts listed below. \*(Please complete banking information in Section 10)

#### Investment Schedule:

Transactions should occur      Monthly      Quarterly      Semi-annually      Annually

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

Fund Name \_\_\_\_\_ Class A      Class C

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 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 there are insufficient funds in your account upon presentation. Fund of Funds Lp Funds shall be under no obligation to notify the undersigned as to the insufficient funds. Automatic investments 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.



## 9. Automatic Exchange Plan

Automatic exchanges for IRAs can only be made to other fund positions within the same IRA account.

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

Fund Name \_\_\_\_\_ Account Number \_\_\_\_\_

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. 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.

## 10. Bank Account Information

Please provide information on the bank account to which 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.\*)

Tape your voided check or deposit slip here.\*

Bank Account Registration → John A. Sample  
123 Same Street  
Anywhere, USA 12345

Bank Name → ANY BANK USA

Bank Routing Number → | 000000000 | 000000000 | 0000

Bank Account Number → \_\_\_\_\_

Date \_\_\_\_\_

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

0000

### 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.)

\*Arloteurninagti vneulmy, bife ur.navailable, 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

## 11. Reduced Sales Charge for Class A shares (choose one only)

**Right of Accumulation:** I own shares in other Fund of Funds Lp Funds which may entitle this purchase to have a reduced sales charge under the provisions in the fund prospectus. (See "Initial Sales Charges – Class A Shares: Combined Purchase Privilege and Right of Accumulation (Breakpoints) in the prospectus.)

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 a "Fund of Funds Lp Funds NAV Certification Form" completed. To request a form, please call (Financial Advisors of wirehouse firms)

## 12. Signature(s) and Certification

I hereby adopt the UMB Bank, n.a. Roth IRA Custodial Account Agreement. I have read and understood the Roth IRA Custodial Account Agreement and Disclosure Statement. The undersigned certifies that I have full authority and, if a natural person, I am of legal age to purchase shares pursuant to this application, have received and reviewed a current prospectus for the Fund of Funds Lp Funds I 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 will access and review an applicable then current prospectus for any additional Fund of Funds Lp Funds that I may purchase in the future prior to completing any purchase of each such Fund of Funds Lp Funds and in each case agree(s) to be bound by all of the terms, conditions and account features in each then applicable prospectus. The undersigned hereby (i) consents to the distribution and termination fee as it may be amended from time to time as reflected in the Disclosure Statement and/or in the prospectus(es) of the relevant Fund of Funds Lp Funds, (ii) agrees to give such instructions to the Custodian promptly as necessary to enable the Custodian to carry out its duties under the Custodial Account Agreement, (iii) represents that whenever information as to any taxable year is required to be filed with the Internal Revenue Service by the Custodian unless filed by the individual, the individual will file such information with the Internal Revenue Service, (iv) affirms that his or her participation is completely voluntary, and (v) confirms that he or she has received no endorsement of the investment vehicles available under this Roth Individual Retirement Account from the Custodian, SS&C Global Investor & Distribution Solutions, Inc., nor Fund of Funds Lp Funds and their affiliated persons and service providers. I understand that my account will be subject to certain telephone privileges unless I restrict such privileges under Section 7 and that the Custodian, SS&C Global Investor & Distribution Solutions, Inc., Fund of Funds Lp Funds and their affiliated persons and service providers shall not be liable for any loss incurred by me by reason of accepting unauthorized telephone requests for my account. I certify that I have read and completed the instructions on this form and that I have consulted with my tax advisor, or that I otherwise fully understand the tax and other legal consequences of distributions from the Fund of Funds Lp Funds Roth IRA(s) listed in Section 1 of this form. I understand that I am responsible for knowing whether a distribution complies with applicable tax laws; and that I am responsible for reporting and paying all applicable taxes on a distribution or distributions; and that if a distribution constitutes a "premature" distribution, I am aware of the applicable tax requirements and penalties. I understand that neither the Custodian, SS&C Global Investor & Distribution Solutions, Inc., nor Fund of Funds Lp Funds and their affiliated persons and service providers have provided, or are responsible to provide, tax or legal advice to me in connection with a distribution request. I understand and agree that neither the Custodian, SS&C Global Investor & Distribution Solutions, Inc., nor Fund of Funds Lp Funds and their affiliated persons and service providers shall be responsible for any tax due on account of a distribution(s) (including distributions based on life expectancy or required minimum distributions calculated using information I provided) or for any tax or other p

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, and (iii) I am a U.S. Person (including a U.S. Resident Alien). I 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 represent I understand that one

12. Signature(s) and Certification (continued)

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 investors 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:

Your \_\_\_\_\_ Signature \_\_\_\_\_ X \_\_\_\_\_ Date \_\_\_\_\_ This application

should only be used for a Fund of Funds Lp Funds Roth IRA, Rollover IRA or Conversion Roth IRA, Direct Transfer or Direct Rollover, and Inherited Roth IRA.

If the Roth IRA owner is a minor under the laws of his or her state of residence, a parent or guardian must also sign the account application here. Until the Roth IRA owner reaches the age of majority, the parent or guardian will exercise the powers and the duties of the Roth IRA owner. Federal law requires the following identifying information for the parent or guardian acting for the minor.

Signature \_\_\_\_\_ of \_\_\_\_\_ Parent \_\_\_\_\_ or \_\_\_\_\_ Guardian \_\_\_\_\_ X \_\_\_\_\_ Date \_\_\_\_\_

Parent \_\_\_\_\_ or \_\_\_\_\_ Guardian \_\_\_\_\_ Name \_\_\_\_\_ (print)

D\_a\_t\_e\_o\_f\_B\_i\_r\_t\_h\_(m\_m\_/d\_d\_/yy\_yy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ S\_o\_c\_i\_a\_l\_S\_e\_c\_u\_r\_i\_t\_y\_N\_u\_m\_b\_e\_r \_\_\_\_\_

Residential Address \_\_\_\_\_

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

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

FUND NAME	CLASS	TICKE	FUND NUMBER
Fund of Funds Lp All Asset All Authority Fund Fund of Funds Lp All	Class A	PAUAX	4019 4219 4018
Asset All Authority Fund Fund of Funds Lp All Asset Fund Fund of	Class C	PAUAX	4218 4038 4238
Funds Lp All Asset Fund Fund of Funds Lp California Intermediate	Class A	PAUCX	6040 6240 4117
Municipal Bond Fund Fund of Funds Lp California Intermediate	Class C	PASAX	8087 8287 6016
Municipal Bond Fund Fund of Funds Lp California Municipal Bond	Class A	PASCX	6216 4049 4249
Fund Fund of Funds Lp California Municipal Bond Fund Fund of	Class C	PCMBX	6033 6233 4033
Funds Lp California Short Duration Municipal Income Fund Fund of	Class A	PCFCX	4233 6036 6236
Funds Lp Climate Bond Fund Fund of Funds Lp Climate Bond Fund	Class C	PCTTX	4086 4286 4001
Fund of Funds Lp CommoditiesPLUS® Strategy Fund Fund of Funds	Class A	PCTGX	4201 4029 4032
Lp CommoditiesPLUS® Strategy Fund Fund of Funds Lp	Class A	PCDAX	4232 8090 8290
CommodityRealReturn Strategy Fund® Fund of Funds Lp	Class C	PCEBX	4087 4011 4211
CommodityRealReturn Strategy Fund® Fund of Funds Lp Credit	Class A	PCECX	4090 4290 4055
Opportunities Bond Fund Fund of Funds Lp Credit Opportunities	Class C	PCLAX	4255 4099 4299
Bond Fund Fund of Funds Lp Diversified Income Fund Fund of Funds	Class A	PCPCX	4006 4206 4025
Lp Diversified Income Fund Fund of Funds Lp Dividend and Income	Class C	PCRAX	4225 6020 6220
Fund Fund of Funds Lp Dividend and Income Fund Fund of Funds Lp	Class A	PCRCX P	4021 4221 6034
Dynamic Bond Fund Fund of Funds Lp Dynamic Bond Fund Fund of	Class C	ZCR X P	4007 4207 4042
Funds Lp Emerging Markets Bond Fund Fund of Funds Lp Emerging	Class A	PCRCX	4242 4051 4251
Markets Bond Fund Fund of Funds Lp Emerging Markets Currency	Class C	PDVAX	8084 8204 4003
and Short-Term Investments Fund Fund of Funds Lp Emerging	Class A	PDICX	4203 6026 6226
Markets Local Currency and Bond Fund Fund of Funds Lp Emerging	Class C	PQIZX	4004 4204 4041
Markets Local Currency and Bond Fund Fund of Funds Lp ESG	Class A	PQICX	4241 6044 6244
Income Fund Fund of Funds Lp ESG Income Fund Fund of Funds Lp	Class C	PUBAX	
Global Advantage® Strategy Bond Fund Fund of Funds Lp Global	Class A	PUBCX	
Bond Opportunities Fund (U.S. Dollar-Hedged) Fund of Funds Lp	Class C	PAEMX	
Global Bond Opportunities Fund (U.S. Dollar-Hedged) Fund of Funds	Class A	PEBCX	
Lp Global Core Asset Allocation Fund Fund of Funds Lp Global Core	Class A	PLMAX	
Asset Allocation Fund Fund of Funds Lp GNMA and Government	Class C	PELAX	
Securities Fund Fund of Funds Lp GNMA and Government Securities	Class A	PELCX	
Fund Fund of Funds Lp Government Money Market Fund Fund of	Class C	PEGAX	
Funds Lp Government Money Market Fund Fund of Funds Lp High	Class A	PEGBX	
Yield Fund Fund of Funds Lp High Yield Fund Fund of Funds Lp High	Class A	PGSAX	
Yield Municipal Bond Fund Fund of Funds Lp High Yield Municipal	Class C	PAIIX	
Bond Fund Fund of Funds Lp High Yield Spectrum Fund Fund of	Class A	PCIIX	
Funds Lp High Yield Spectrum Fund Fund of Funds Lp Income Fund	Class C	PGMAX	
Fund of Funds Lp Income Fund Fund of Funds Lp Inflation Response	Class A	PGMCX	
Multi-Asset Fund Fund of Funds Lp International Bond Fund (U.S.	Class C	PAGNX	
Dollar-Hedged) Fund of Funds Lp International Bond Fund (U.S.	Class A	PCGNX	
Dollar-Hedged) Fund of Funds Lp International Bond Fund	Class C	AMAXX	
(Unhedged) Fund of Funds Lp International Bond Fund (Unhedged)	Class A	AMGXX	
Fund of Funds Lp Investment Grade Credit Bond Fund Fund of Funds	Class C	PHDAX	
Lp Investment Grade Credit Bond Fund Fund of Funds Lp Long	Class A	PHDCX	
Duration Total Return Fund Fund of Funds Lp Long Duration Total	Class C	PYMAX	
Return Fund Fund of Funds Lp Long-Term U.S. Government Fund	Class A	PYMCX	
Fund of Funds Lp Long-Term U.S. Government Fund Fund of Funds	Class C	PHSAX	
Lp Low Duration Credit Fund Fund of Funds Lp Low Duration Credit	Class A	PHSCX	
Fund Fund of Funds Lp Low Duration Fund Fund of Funds Lp Low	Class C	PONAX	
Duration Fund Fund of Funds Lp Low Duration Income Fund Fund of	Class A	PONCX	
Funds Lp Low Duration Income Fund Fund of Funds Lp Mortgage	Class C	PZRMX	
Opportunities and Bond Fund Fund of Funds Lp Mortgage	Class A	PFOAX	
Opportunities and Bond Fund	Class A	PFOCX	
	Class C	PFUAX	
	Class A	PFCRX	
	Class C	PBDAX	
	Class A	PBDCX	
	Class C	PLRAX	
	Class A	PLRCX	
	Class C	PFGAX	
	Class A	PFGCX	
	Class C	PSRZX	
	Class A	PSRWX	
	Class C	PTLAX	
	Class A	PTLCX	
	Class C	PFIAX	
	Class A	PFNCX	
	Class C	PMZAX	
		PMZCX	

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

# Direct Rollover/Direct Transfer Form

## 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 who opens an account.

**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. We may also ask to see your driver's license or other identifying documents.

### 1. Account Owner Information

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

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

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

(R\_e\_q\_u\_i\_r\_e\_d\_i\_f\_d\_i\_f\_f\_e\_r\_e\_n\_t\_f\_r\_o\_m\_a\_b\_o\_v\_e\_) \_\_\_\_\_

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

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

Type of plan being transferred:

Roth IRA \_\_\_\_\_ Conversion Roth IRA \_\_\_\_\_ Direct rollover from an employer-sponsored retirement plan (e.g., 401(a), 401(k), 403(b), governmental 457(b) plan) \_\_\_\_\_

### 2. Current Custodian Information

Name \_\_\_\_\_ of \_\_\_\_\_ Current \_\_\_\_\_ Custodian \_\_\_\_\_

\_\_\_\_\_ Street Address \_\_\_\_\_

\_\_\_\_\_ S\_u\_i\_t\_e\_/A\_p\_t.\_N\_o\_. \_\_\_\_\_

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

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

\_\_\_\_\_ Account Number with \_\_\_\_\_

Current Custodian \_\_\_\_\_

### 3. Type of Transfer

**Check one:**

**Direct Rollover:** If transferring a distribution from a current retirement plan directly to a Fund of Funds Lp Funds Roth IRA. **Direct Transfer:** If

transferring funds from an existing Roth IRA to a similar Fund of Funds Lp Funds Roth IRA via a Custodian-to-Custodian transfer. **Roth**

**Conversion IRA:** If converting IRA contributions from a non-Roth IRA held at another institution to a Fund of Funds Lp Funds Roth IRA.

If the transferred assets are to be invested in an existing Fund of Funds Lp Funds Roth IRA, provide account information in Section 5: Fund of

Funds Lp Funds Account.

#### 4. Transfer Instructions

Please indicate the estimated transfer/rollover amount: \$ \_\_\_\_\_ and attach a copy of your most recent statement(s) from your current custodian.

**Check one:**

**Partial Transfer:** Transfer/rollover/convert \$/% \_\_\_\_\_ of my present plan account.

**Full Transfer:** Transfer/rollover/convert all the cash proceeds of my referenced plan account (liquidate all positions/shares).

Transfer cash proceeds from Certificates of Deposit as I have checked below. I am aware of and acknowledge the penalty I will incur for an early withdrawal from a passbook or Certificate of Deposit.

At maturity \_\_\_\_\_  
Date

Immediately

**Transfer-In-Kind:** Transfer the registration of shares of any Fund of Funds Lp fund held in my present plan account to the custodian of my new Fund of IRA. (Resigning custodian must complete Section 8 for transfer-in-kind.)  
Funds Lp Funds Roth

I hereby represent to Fund of Funds Lp Funds that this rollover or transfer consists of assets from another IRA or an "eligible retirement plan" (as defined in the Section 402(c)(8) of the Internal Revenue Code), which includes, for example, a 401(k) plan, a defined benefit pension plan, or a 403(b) plan.

#### 5. Fund of Funds Lp Funds Account

I am opening a new Fund of Funds Lp Funds Roth IRA. Please complete the Fund of Funds Lp Funds Roth IRA application and return it along with this form. I am adding to an existing Fund of Funds Lp Funds Roth IRA.

Please invest the transfer/rollover/conversion as follows (there is an initial minimum investment of \$1,000 per fund): Fund of Funds Lp Fund Name

\_\_\_\_\_ Account Number \_\_\_\_\_ \$/%

Transfer/Rollover/Conversion to Be Invested in this Fund \_\_\_\_\_

Fund of Funds Lp Fund Name \_\_\_\_\_ Account Number

\$/% of \_\_\_\_\_ Transfer/Rollover/Conversion to Be Invested in this Fund

Fund of Funds Lp Fund Name \_\_\_\_\_ Account Number

\$/% of \_\_\_\_\_ Transfer/Rollover/Conversion to Be Invested in this Fund

Fund of Funds Lp Fund Name \_\_\_\_\_ Account Number

\$/% of \_\_\_\_\_ Transfer/Rollover/Conversion to Be Invested in this Fund

## 6. Signature(s)

I have established a Fund of Funds Lp Funds Roth IRA. Please accept this authorization to transfer/rollover my plan account. Please follow the instructions I have provided. If my plan account is to be liquidated, send the cash proceeds by check made payable to Fund of Funds Lp Family of Funds:

Do not withhold any amount for federal income tax purposes upon terminating my plan account.

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

### Medallion Signature Guarantee:

(if required by resigning trustee/custodian)

## 7. Acceptance of Transfer

(For UMB Bank, n.a. use only)

To the referenced custodian:

Above are instructions from the individual referenced to transfer/rollover/convert proceeds of the type of plan referenced in Section 1 of this form to a Fund of Funds Lp Funds Roth IRA. We have established a Fund of Funds Lp Funds Roth IRA for the said individual under the provisions of the Internal Revenue Code of 1986, as amended, and we hereby agree to accept the assets you transfer, and to hold these assets in a Roth IRA for the benefit of the individual referenced above.

To ensure proper credit, please make the check payable to: Fund of Funds Lp Family of Funds\*

Please mail the check, together with a copy of this form, to identify it as a custodian-to-custodian transfer, direct rollover or a conversion, in the enclosed envelope to:

F/B/O

\_\_\_\_\_  
Print Name of Custodian

\_\_\_\_\_  
By Authorized

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.

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

\*Fund of Funds Lp Funds reserves the right to require payment by wire. Fund of Funds Lp Funds does not accept payments made by cash, temporary/starter checks, credit cards, traveler's checks, credit



**8. For Transfer-in-Kind Only**

(Requires signature of resigning custodian)

To: SS&C Global Investor & Distribution Solutions, Inc. as Transfer Agent

At the request of our account owner, we ask you to transfer the registration of the Fund of Funds Lp Funds account(s) currently registered in our name as the custodian to a Fund of Funds Lp Funds Roth IRA for the benefit of the referenced individual.

Fund Name \_\_\_\_\_ Account Number \_\_\_\_\_

Number of Shares Certified \_\_\_\_\_ Number of Shares \_\_\_\_\_  
UFunncler Ntiafimedede \_\_\_\_\_ Account Number \_\_\_\_\_

Number of Shares Certified \_\_\_\_\_ Number of Shares Uncertified \_\_\_\_\_

Fund Name \_\_\_\_\_ Account Number \_\_\_\_\_

Number of Shares Certified \_\_\_\_\_ Number of Shares Uncertified \_\_\_\_\_

Fund Name \_\_\_\_\_ Account Number \_\_\_\_\_

Number of Shares Certified \_\_\_\_\_ Number of Shares Uncertified \_\_\_\_\_

Print name of resigning custodian \_\_\_\_\_

by Signature of Authorized Officer X \_\_\_\_\_

Title \_\_\_\_\_

**Medallion Signature Guarantee or Signature Validation Program Stamp:**

(if required by resigning trustee/custodian)

\_\_\_\_\_