
**INSTRUCTIONS ON HOW TO COMPLETE
SYSTEMATIC REINVESTMENT FORM (MFSC 68A)**

- **Account name** – Enter the client’s name.
- **Account number** – The client’s Pershing brokerage account number must be entered into this field. Money required for purchases is debited from this account. Shares selected to be exchanged or sold are selected from this account.
- **Start date** – This field is used to input the periodic instruction’s initial trade date. Therefore, a start date of 6/01/02 sets up the instruction to generate an order on 6/01/02 and, based on the schedule type input (“M”-Monthly, “Q”-Quarterly, “S”-Semi-annually or “A”-Annually), the system will generate additional orders on the date indicated (the first of the month) each time one of the periodic dates is reached. If ACH attached, start date should allow for five (5) business days for processing time from date of receipt.
- **Schedule type** – This field is used to input the periodic instruction’s scheduled frequency for generating an order. Therefore, a schedule type of “M” (Monthly), will generate orders on the date indicated (“Start date”) each month.
- **End date** – The date on which you want the periodic transaction to end. If left blank, the transactions will continue until we receive instructions to terminate.
- **NAV-Waiver-IND** – The valid values for input to this field are “Y”-Yes or “N”-No. If “Y” is placed in this field, a code is necessary in the “NAV/CDSC WAIVER Code” field. See NAV-WAIVER Codes.
- **NAV-WAIVER CODE** – The system will not accept a value of “Y” as input to the “NAV-WAIVER-IND” unless the “NAV-WAIVER Code” field contains the client’s reason for application for the waiver. Also, please be aware that certain funds reserve the right to request written evidence to support the reason provided in the comment field.

NAV Code:

3 = Employee

7 = Commissionable Defined Contribution Plan

5 = Wrap Fee Account

8 = Non-commissionable Defined Contribution Plan

6 = NAV Commissionable

A = Dividend Reinvestment Trade

- **CDSC-Waiver-IND** – The valid values for input to this field are “Y”-Yes or “N”-No. If “Y” is placed in this field, a code is necessary in the NAV/CDSC waiver code field. See the CDSC WAIVER Codes.
- **CDSC-Waiver Code** – The system will not accept a value of “Y” as input to the “CDSC-WAIVER-IND” field unless the “CDSC-WAIVER Code” field contains the client’s reason for application for the waiver. Also, please be aware that some funds may not process these waiver applications, depending upon their individual internal policies. There may also be some funds that may require a signed agreement in place to process these waiver applications. If nothing is checked, system will default to “no.”

CDSC-WAIVER Code:

5 = Death

9 = Defined Distribution

6 = Disability

A = Hardship

7 = Mandatory Distribution

B = No Commission Paid

8 = Systematic Withdrawal

Charges: There are no charges for the execution of Periodic Buy or Periodic Sell instructions. Periodic Exchanges are subject to \$1.00 charge each side.

Eligibility: Only funds that are networked are eligible for this system (please refer to the “Trade Eligibility CUSIP List” to verify).

Signatures: Registered representative signature required.

Send completed form to: Trading Department by fax to 877.339.0603

Note: The client must have an existing position for this CUSIP in their Pershing account before submitting this form.