

# Mutual Fund/Annuity Switch Request Form

Client(s): \_\_\_\_\_

Registered Representative: \_\_\_\_\_

Investment to be liquidated: \_\_\_\_\_

Investment to be purchased: \_\_\_\_\_

Please remember that it is the client's responsibility to take time to read and understand the Mutual Fund/Annuity Switch Request Form. This Mutual Fund/Annuity Switch Request Form must be completed in full by the client. If you should have any questions, please contact the Investacorp Compliance Department at (305) 557-3000 or your Registered Representative.

1. I/We understand that, if applicable, I/we will pay a new sales charge (either an up-front charge, ongoing charge or a contingent back-end charge, whichever may be applicable) on the mutual fund or annuity to be purchased. Further, if applicable, a new surrender period may be established for the purchase of a back-end charged mutual fund or annuity. Check the appropriate box:  Yes  No  N/A
2. I/We understand that, if applicable, the mutual fund or annuity to be liquidated may charge a back-end surrender charge and/or a liquidation fee. Check the appropriate box:  Yes  No  N/A
3. I/We understand that, if applicable, in a non-qualified plan, I/we will under most circumstances, be subject to a capital gain or loss that is incurred on the proceeds received from the mutual fund or annuity liquidated. Check the appropriate box:  Yes  No  N/A
4. I/We understand that because of #1, #2, and #3 above or any combination thereof, the effective return on my investment may be affected negatively and that I/we have taken these factors into account when deciding to request this switch. Check the appropriate box:  Yes  No
5. I/We understand that there is no assurance that the mutual fund or annuity to be purchased will perform as well as or better than the mutual fund or annuity to be liquidated. Check the appropriate box:  Yes  No
6. I/We understand that instead of the proposed mutual fund or annuity switch, if applicable, I/we could take advantage of any free or low fee exchange privilege into another mutual fund within the same mutual fund family, or in the case of an annuity I/we could take advantage of any free or low exchange privilege within the same annuity. Check the appropriate box:  Yes  No  N/A

I/We, having read the applicable prospectus and being fully aware of the above, direct the above stated mutual fund/annuity switch.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Client's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Co-Client's Signature