

All applicable sections must be completed for instructions to be acceptable and valid.

Regular Mail

Attn: FTR- Publicly Traded  
 PO Box 219261  
 Kansas City, MO 64121-9261  
 855-387-3847

Overnight Delivery

Mail Stop: FTR-Publicly Traded  
 430 West 7th Street  
 Suite 219261  
 Kansas City, MO 64105-1407

**THIS FORM MAY BE USED TO COMPLETE THE FOLLOWING ACCOUNT SERVICING REQUESTS:**

- Sections 1 and 7 must be completed for all requested changes.
- Section 2- Change or correction of address of record.
- Section 3- Add an alternate address where duplicate tax and/or distribution statements may be sent.
- Section 4- Change name due to marriage, divorce, etc.; must be signed by investor in this section.
- Section 5- Change financial advisor.
- Section 6- Electronic Delivery Election

**Section 1: ACCOUNT NAME & ADDRESS**

IRA Owner Name                                      Social Security Number                                      Current Investment Name ("The Product")                                      Account Number

**Section 2: ADDRESS OF RECORD CHANGE**

Address (If PO Box is provided, a residential address must be given as well.)                                      City / State / Zip                                      Phone Number

Email                                      Residential Address (Only complete if PO Box is provided.)                                      City / State / Zip

**Section 3: ALTERNATE ADDRESS**

Duplicate Mailings                                       Duplicate Tax forms

Alternate Address                                      City / State / Zip                                      Alternate Phone Number

**Section 4: CHANGE OF NAME**

**Important:** Copy of marriage certificate, divorce decree, or court order must be provided, as applicable.

Previous Name                                      Previous Signature

Updated Name                                      Updated Signature

**Section 5: CHANGE OF BROKER DEALER/FINANCIAL ADVISOR**

New Broker Dealer Name: \_\_\_\_\_ Phone: \_\_\_\_\_

New Broker-Dealer Street/P.O. Box: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

New Financial Advisor Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Financial Advisor #: \_\_\_\_\_ Branch #: \_\_\_\_\_

Financial Advisor Street/P.O. Box: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

New Financial Advisor Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Section 6: ELECTRONIC DELIVERY ELECTION**

We encourage you to reduce printing and mailing costs and to conserve natural resources by electing to receive electronic delivery of stockholder communications and statement notifications. By consenting below to electronically receive stockholder communications, including your account-specific information, you authorize First Trust Retirement to either (i) e-mail stockholder communications to you directly or (ii) make them available on our Web site and notify you by e-mail when such documents are available and how to access the documents.

You will not receive paper copies of these electronic materials unless specifically requested, the delivery of electronic materials is prohibited or we, in our sole discretion, elect to send paper copies of the materials. Sign below if you consent to the electronic delivery of documents including annual reports, proxy materials, and any other documents that may be required to be delivered under federal or state securities laws as well as account-specific information such as quarterly account statements or tax information. Your consent will be effective until you revoke it. In addition, by consenting to electronic access, you will be responsible for your customary Internet Service Provider charges in connection with access to these materials. Please provide you preferred E-mail address in the section below. Carefully read the following representations before consenting to receive documents electronically. By signing and checking this box and consenting to receive documents electronically, you represent the following: (a) I acknowledge that access to both Internet e-mail and the World Wide Web is required in order to access documents electronically. I may receive by e-mail notification the availability of a document in electronic format. The notification e-mail will contain a web address (or hyperlink) where the document can be found. By entering this address into my web browser, I can view, download and print the document from my computer. I acknowledge that there may be costs associated with the electronic access, such as usage charges from my Internet provider and telephone provider, and that these costs are my responsibility. (b) I acknowledge that documents distributed electronically may be provided in Adobe's Portable Document Format (PDF). The Adobe Reader® software is required to view documents in PDF format. The Reader software is available free of charge from Adobe's web site at www.adobe.com. The Reader software must be correctly installed on my system before I will be able to view documents in PDF format. Electronic delivery also involves risks related to system or network outage that could impair my timely receipt of or access to stockholder communications. (c) I acknowledge that I may receive at no cost from First Trust Retirement a paper copy of any documents delivered electronically by calling First Trust Retirement at 855-387-3847 from 8:00 am to 5:00 pm CST Monday-Friday. (d) I acknowledge that if the e-mail notification is returned to the respective offering(s) as "undeliverable", a letter will be mailed to me with instructions on how to update my e-mail address to begin receiving communication via electronic delivery. I further understand that if First Trust Retirement is unable to obtain a valid e-mail address for me, First Trust Retirement will resume sending a paper copy by U.S. mail to my address of record. (e) I acknowledge that my consent may be updated or cancelled, including any updates in e-mail address to which documents are delivered, at any time by calling First Trust Retirement at 855-387-3847 from 8:00 am to 5:00 pm CST Monday-Friday.

I am electing to have Electronic Delivery of stockholder communication and would prefer to receive such communications and statements electronically for my FTR Publicly Traded IRA account(s).

My e-mail address is: \_\_\_\_\_  
 Your e-mail address will be held in confidence and used only for matters relating to your investments.



## PUBLICLY TRADED PRODUCTS

## ACCOUNT SERVICING FORM

### Section 7: SIGNATURE REQUIRED

I hereby acknowledge that this agreement is between the IRA Owner named in Section 1 and the Custodian and that Product and its affiliates (i) shall have no obligations or liability under this agreement or for any transactions executed in connection herewith; (ii) shall have no responsibility, discretion or involvement in evaluating or selecting assets or investments; and (iii) shall not be deemed to be a "fiduciary" as defined in the Employee Retirement Income Security Act of 1974, as amended, and/or Section 4975 of the Internal Revenue Code of 1986, as amended, with respect to any assets or property of the IRA account.

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IRA Owner Signature

Date