

# Mutual fund IRA dollar cost averaging program form



Mail to: P.O. Box 9261, Des Moines, IA 50306-9261  
Overnight: 8300 Mills Civic Pkwy, West Des Moines, IA 50266-3833  
Phone: 1-866-747-3421 | Email: SecuritiesPi@sfgmembers.com

## Instructions

Use this form to establish, change or cancel a dollar cost averaging (DCA) program.

**Note: This program is not available if you have elected the automatic portfolio rebalancing program. The minimum account value to initiate a DCA program is \$10,000. The minimum amount of setup time for any DCA program is three (3) months. There is no maximum amount of setup time.**

Future contributions received without express written allocation instructions will be directed into the DCA target funds.

## 1. Account information

Please provide all requested information.

Account number			
Account Holder's name (first, middle initial, last)			Social Security number
Street address			Apartment/Suite number
City	State	ZIP	Phone number

## 2. Dollar cost averaging instructions

For questions or assistance, please call the Service Center at 866-747-3421. Any fund may be elected as the DCA source fund, but the elected "source fund" must have a minimum balance of \$1,200. The minimum amount that may be transferred via DCA monthly is \$100, quarterly is \$300, semi-annually is \$600, and annually is \$1,200.

A. Please elect only one option:

- ☐ **Establish** a dollar cost averaging program – complete remainder of this form.
- ☐ **Change** the existing dollar cost averaging program – complete remainder of this form.
- ☐ **Cancel** the existing dollar cost averaging program and DO NOT ADD a new program – move to signature section of this form.

B. Dollar cost averaging Instructions:

Dollar cost averaging will occur on the **Account Anniversary** of the month according to the elected frequency, provided that it is a business day. Please consult the sales materials provided at purchase for details regarding this feature as well as restrictions, minimum or maximum limitations, fees, and other applicable information. Dollar cost averaging cannot be elected if you participate in automatic portfolio rebalancing.

I would like to dollar cost average \$ \_\_\_\_\_ or ☐ Equal proportion based on the frequency selected below from the following source fund (select ONE fund that you want to DCA from): \_\_\_\_\_

- ☐ Monthly, for \_\_\_\_\_ months (3-month minimum) ☐ Quarterly, for \_\_\_\_\_ quarters
- ☐ Semi-annually, for \_\_\_\_\_ semesters ☐ Annually, for \_\_\_\_\_ years or ☐ Until source account is depleted

Please elect the target fund(s) (fund(s) you want to DCA into) by making a selection(s) on the following pages.

Dollar cost averaging does not assure a profit or protect against loss in a declining market. Such a plan involves continuous investment in securities regardless of fluctuating price levels of such securities. Investors should consider their financial ability to continue purchases through periods of low price levels.

NOT FDIC/NCUA INSURED, MAY LOSE VALUE INCLUDING LOSS OF PRINCIPAL, NO BANK/ CU GUARANTEE, NOT A DEPOSIT, NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY.

### 3. Fund options

Please designate your allocations in whole percentages only. No matter which funds are chosen, the total allocations must equal 100%, or the application will not be considered in good order.

#### LiveWell® Models

Accumulation	Percent	Income	Percent
Conservative	_____ %	High Income	_____ %
Moderate	_____ %	Diversified Income	_____ %
Moderate Growth	_____ %		
Growth	_____ %		
Aggressive Growth	_____ %		

POWERED BY  
MORNINGSTAR®

**The model portfolios will not automatically rebalance unless automatic portfolio rebalancing is elected.**

Ticker	Fund name	Percent
Large Value		
AVURX	American Century Value R	_____ %
MDDVX	BlackRock Equity Dividend A	_____ %
RSOOX	Columbia Dividend Opportunity R	_____ %
SLVRX	Columbia Select Large-Cap Value R	_____ %
ERSTX	Eaton Vance Large-Cap Value R	_____ %
LAVRX	Lord Abbett Fundamental Equity R3	_____ %
PQIRX	Pioneer Equity Income R	_____ %
PEIOX	Principal Equity Income R3	_____ %
RRFDX	T. Rowe Price Equity Income R	_____ %
Large Blend		
AFDRX	American Century Sustainable Equity R	_____ %
AICFX	American Funds Invmt Co of Amer F1	_____ %
WSHFX	American Funds Washington Mutual F1	_____ %
LMMRX	ClearBridge Dividend Strategy R	_____ %
CCCRX	Columbia Contrarian Core R	_____ %
DESRX	DWS ESG Core Equity R	_____ %
FRDRX	Franklin Rising Dividends R	_____ %
VADRX	Invesco Equally-Weighted S&P 500 R	_____ %
OMGNX	Invesco Main Street R	_____ %
MFVNX	MassMutual Select Equity Opportunities R3	_____ %
MMINX	MM S&P 500® Index R3	_____ %
PSPRX	PIMCO StocksPLUS R	_____ %
PIORX	Pioneer R	_____ %
PCAOX	Principal Capital Appreciation R3	_____ %
Large Growth		
ACARX	Alger Capital Appreciation Instl R	_____ %
AULRX	American Century Ultra R	_____ %
GFAFX	American Funds Growth Fund of Amer F1	_____ %
LMPLX	ClearBridge Large Cap Growth R	_____ %
FAGOX	Fidelity Advisor Growth Opportunities M	_____ %
FNITX	Fidelity Advisor New Insights M	_____ %
FDNRX	Franklin DynaTech R	_____ %

#### Risk-based allocation funds

Ticker	Fund name	Percent
FTTNX	Fidelity Advisor Asset Manager 30% M	_____ %
FTTMX	Fidelity Advisor Asset Manager 50% M	_____ %
FTASX	Fidelity Advisor Asset Manager 70% M	_____ %
FEYTX	Fidelity Advisor Asset Manager 85% M	_____ %

#### Target date allocation funds

Ticker	Fund name	Percent
ARCRX	American Century One Choice 2030 R	_____ %
ARDRX	American Century One Choice 2040 R	_____ %
ARFWX	American Century One Choice 2050 R	_____ %
ARGRX	American Century One Choice 2060 R	_____ %
ARSRX	American Century One Choice in Retirement R	_____ %

Ticker	Fund name	Percent
LGLRX	Lord Abbett Growth Leaders R3	_____ %
MBCNX	MassMutual Blue Chip Growth R3	_____ %
PFGRX	Pioneer Fundamental Growth R	_____ %
PGBEX	Principal Blue Chip Fund R3	_____ %
RRBGX	T. Rowe Price Blue Chip Growth R	_____ %
RRGSX	T. Rowe Price Growth Stock R	_____ %

Mid Value		
AMVRX	American Century Mid Cap Value R	_____ %
CMVRX	Columbia Select Mid Cap Value R	_____ %
JDPRX	Janus Henderson Mid Cap Value R	_____ %
IIVAX	Transamerica Small/Mid Cap Value A	_____ %

Mid Blend		
CCAFX	Calvert Mid-Cap A	_____ %
LMREX	ClearBridge Mid Cap R	_____ %
ERSMX	Eaton Vance Atlanta Capital SMID-Cap R	_____ %
FITIX	Fidelity Advisor Mid Cap II M	_____ %

Mid Growth		
KAUFX	Federated Hermes Kaufmann R	_____ %
OEGNX	Invesco Discovery Mid Cap Growth R	_____ %
JDMRX	Janus Henderson Enterprise R	_____ %
PFPPX	Principal MidCap Growth R3	_____ %
RRMGX	T. Rowe Price Mid-Cap Growth R	_____ %

Small Value		
CCTRX	Columbia Small Cap Value II R	_____ %
VSFRX	Federated Hermes Clover Small Value R	_____ %
FCVTX	Fidelity Advisor Small Cap Value M	_____ %
JDSRX	Janus Henderson Small Cap Value R	_____ %
ROFRX	Royce Small Cap Opportunity R	_____ %

Continued on page 3 ►

### 3. Fund options (continued)

Please designate your allocations in whole percentages only. No matter which funds are chosen, the total allocations must equal 100%, or the application will not be considered in good order.

Ticker	Fund name	Percent
Small Blend		
OSCNX	Invesco Main Street Small Cap R	_____ %
SMERX	Invesco Small Cap Equity R	_____ %
PSBMX	Principal Small Cap R3	_____ %
Small Growth		
GLSRX	abrdn US Sustainable Leaders Smaller Companies R	_____ %
ANORX	American Century Small Cap Growth R	_____ %
FKKSX	Federated Hermes Kaufmann Small Cap R	_____ %
LMPOX	ClearBridge Small Cap Growth R	_____ %
JGMRX	Janus Henderson Triton R	_____ %
International Large		
AEGFX	American Funds Europacific Growth F1	_____ %
LMGRX	ClearBridge International Growth R	_____ %
FIATX	Fidelity Advisor Intl Capital App M	_____ %
OIDNX	Invesco International Diversified R	_____ %
OIGNX	Invesco Oppenheimer International Growth R	_____ %
JDIRX	Janus Henderson Overseas R	_____ %
PINRX	Principal Diversified International R3	_____ %
RRIGX	T. Rowe Price International Value Equity R	_____ %
TEFRX	Templeton Foreign R	_____ %
TRWAX	Transamerica International Equity A	_____ %
International Small		
FTISX	Fidelity Advisor Intl Small Cap M	_____ %
OSMNX	Invesco International Small-Mid Company R	_____ %
Emerging Markets		
GOPRX	abrdn China A Share Equity Fund R	_____ %
GEMRX	abrdn Emerging Markets R	_____ %
AEMRX	American Century Emerging Markets R	_____ %
CEMRX	Columbia Emerging Markets R	_____ %
TDMRX	Templeton Developing Markets R	_____ %
World Stock		
NPFFX	American Funds New Perspective F1	_____ %
MDGCX	BlackRock Advantage Global A	_____ %
FEATX	Fidelity Advisor® Emerging Asia M	_____ %
FMURX	Franklin Mutual International Value R	_____ %
GLVNX	Invesco Global Focus	_____ %
OGINX	Invesco Global Opportunities R	_____ %
OGLNX	Invesco Global R	_____ %
JDWRX	Janus Henderson Global Research R	_____ %

Ticker	Fund name	Percent
Commodities/Precious Metals		
BRCRX	Invesco Balanced-Risk Commodity Strat R	_____ %
OGMNX	Invesco Gold & Special Minerals R	_____ %
PCSRX	PIMCO Commodity Real Return Strategy R	_____ %
Communications		
FTUTX	Fidelity Advisor Telecommunications M	_____ %
Energy		
FAGNX	Fidelity Advisor Energy M	_____ %
SPMWX	Invesco SteelPath MLP Select 40 R	_____ %
Natural Resources		
FMFTX	Fidelity Advisor Materials M	_____ %
Financial		
FAFSX	Fidelity Advisor Financial Services M	_____ %
Health		
ERHSX	Eaton Vance Worldwide Health Science R	_____ %
FBTTX	Fidelity Advisor Biotechnology M	_____ %
Industrials		
FCLTX	Fidelity Advisor Industrials M	_____ %
Real Estate		
ARYWX	American Century Global Real Estate R	_____ %
RRRSX	DWS RREEF Real Estate Securities R	_____ %
FHETX	Fidelity Advisor Real Estate M	_____ %
PGRKX	Principal Global Real Estate Securities R3	_____ %
PRERX	Principal Real Estate Securities R3	_____ %
Technology		
SGTRX	Columbia Seligman Global Technology R	_____ %
FELTX	Fidelity Advisor Semiconductors M	_____ %
FATEX	Fidelity Advisor Technology M	_____ %
Utilities		
FRURX	Franklin Utilities R	_____ %
Balanced		
BALFX	American Funds American Balanced F1	_____ %
CSIFX	Calvert Balanced A	_____ %
CBURX	Columbia Income Builder R	_____ %
ERIFX	Eaton Vance Balanced R	_____ %
FTSDX	Fidelity Advisor Strategic Div & Inc M	_____ %
FISRX	Franklin Income R	_____ %
JDBRX	Janus Henderson Balanced R	_____ %
CBPRX	Pioneer Balanced ESG R	_____ %
IBALX	Transamerica Multi-Managed Balanced A	_____ %

Continued on page 4 ►

### 3. Fund options (continued)

Please designate your allocations in whole percentages only. No matter which funds are chosen, the total allocations must equal 100%, or the application will not be considered in good order.

Ticker	Fund name	Percent
Tactical		
PATRX	PIMCO All Asset R	_____ %
PNARX	Principal Spectrum Preferred and Cap Sec Income R3	_____ %
Global Allocation		
MDLOX	BlackRock Global Allocation A	_____ %
FMQSX	Franklin Mutual Quest R	_____ %
Bank Loan		
LRRRX	Lord Abnett Floating Rate R3	_____ %
Convertible Bond		
LCFRX	Lord Abnett Convertible R3	_____ %
Emerging Markets Bond		
CMBRX	Columbia Emerging Markets Bond R	_____ %
Government Bond		
AGMWX	American Century Ginnie Mae R	_____ %
ERGOX	Eaton Vance Government Opportunities R	_____ %
High Yield Bond		
CHBRX	Columbia High Yield Bond R	_____ %
KHYRX	DWS High Income R	_____ %
LHYRX	Lord Abnett High Yield R3	_____ %
PHYRX	PIMCO High Yield R	_____ %
Inflation Protection		
AIARX	American Century Inflation-Adjusted Bond R	_____ %
PRRRX	PIMCO Real Return R	_____ %

Ticker	Fund name	Percent
Intermediate Bond		
OPBNX	Invesco Core Bond R	_____ %
OFINX	Invesco Intermediate Bond Factor Fund R	_____ %
JDFRX	Janus Henderson Flexible Bond R	_____ %
LAURX	Lord Abnett Income R3	_____ %
PTRRX	PIMCO Total Return R	_____ %
PBFRX	Pioneer Bond R	_____ %
PIOOX	Principal Core Fixed Income R3	_____ %
WAPRX	Western Asset Core Plus Bond R	_____ %
Multisector Bond		
FSIAX	Fidelity Advisor Strategic Income M	_____ %
LBNRX	Lord Abnett Bond-Debenture R3	_____ %
PONRX	PIMCO Income R	_____ %
Nontraditional Bond		
CSNRX	Columbia Strategic Income R	_____ %
PUBRX	PIMCO Dynamic Bond R	_____ %
Short-Term Bond		
ERSIX	Eaton Vance Short Duration Strat Inc R	_____ %
LDLRX	Lord Abnett Short Duration Income R3	_____ %
PLDRX	PIMCO Low Duration R	_____ %
PTSRX	PIMCO Short-Term R	_____ %
World Bond		
PFRRX	PIMCO International Bond (USD-Hedged) R	_____ %
FGBRX	Templeton Global Bond R	_____ %
Money Market		
GORXX	Federated Government Obligations Trust	_____ %
Total investment election		100%

Morningstar Investment Management LLC is a registered investment adviser and subsidiary of Morningstar, Inc. Morningstar Investment Management provides nondiscretionary consulting services to Sammons Institutional Group®, Inc. (SIG) but is not acting in the capacity of adviser to individual investors. Morningstar Investment Management provides recommendations to SIG regarding asset allocation targets, for certain LiveWell® products/programs, which are subject to change without notice. Morningstar Investment Management establishes the allocations using its proprietary asset classifications. If alternative classification methods are used, the allocations may not meet the asset allocation targets. The Morningstar name and logo are registered marks of Morningstar, Inc. Morningstar Investment Management is not affiliated with SIG.

Funds are current as of 11/01/2023. Please see [www.srslivewell.com](http://www.srslivewell.com) for any applicable changes.

### 4. Signature

Either the Account Holder or Registered Representative with telephone authorization must sign this form.

Account Holder or Registered Representative's signature

Date signed (mm/dd/yyyy)

UMB Bank n.a. is the custodian for the LiveWell® Mutual Fund IRA Series. The mutual funds offered through the LiveWell® Mutual Fund IRA Series are made available through Sammons Financial Network®, LLC., member FINRA, 8300 Mills Civic Parkway, West Des Moines, IA 50266. Information about the LiveWell® Mutual Fund IRA Series and its funds can be obtained by calling 866-747-3421.

Securities distributed by Sammons Financial Network®, LLC., member FINRA. Sammons Institutional Group®, Inc. provides administrative services. Sammons Retirement Solutions® is a division of Sammons Institutional Group®, Inc. Sammons Financial Network®, LLC., member FINRA, Sammons Institutional Group®, Inc., and Sammons Retirement Solutions® are not affiliated with UMB Bank n.a.

