Avantax Investment Services℠

Mutual Fund Disclosure

This form is to be completed for the following trades:

- All class A share purchases if the client's aggregate balance in class A shares is over $25,000 split between two or more mutual fund families **AND** the client does not receive the best available breakpoint in their portfolio
- Class B share purchases if the client's aggregate balance in class B shares is equal to or greater than $50,000, but less than $100,000
- Class C share purchases if the client's aggregate balance in class C shares is equal to or greater than $90,000 but less than $500,000

Form must be completed in its entirety.

CLIENT INFORMATION

Name	SSN/TIN
Name	SSN/TIN

EXISTING MUTUAL FUND HOLDINGS

Does the client have existing mutual fund holdings through Avantax?	☐ Yes*	☐ No	
Does the client have existing mutual fund holdings outside of Avantax?	☐ Yes*	☐ No	☐ Declined to Disclose
Does the client have existing mutual fund holdings held by related parties?	☐ Yes*	☐ No	☐ Declined to Disclose

***If yes to any of the three questions listed above, please complete the information below.**

FUND INFORMATION FOR EXISTING MUTUAL FUND HOLDINGS

Mutual Fund Company	Value of Mutual Funds Held through Avantax (all share classes)	Value of Mutual Funds Held Outside Avantax (all share classes)	Value of Mutual Funds Held by Related Parties (all share classes)	Total Value of Mutual Funds Held	Based on the amount of "Total Value of Mutual Funds Held" column, indicate the breakpoint the client would be eligible for in Class A Shares:
	$	$	$	$	☐ None ☐$25,000 ☐ $50,000 ☐ $100,000 ☐ $250,000 ☐ $500,000 ☐ $1,000,000 ☐ Other ____________
	$	$	$	$	☐ None ☐$25,000 ☐ $50,000 ☐ $100,000 ☐ $250,000 ☐ $500,000 ☐ $1,000,000 ☐ Other ____________
	$	$	$	$	☐ None ☐$25,000 ☐ $50,000 ☐ $100,000 ☐ $250,000 ☐ $500,000 ☐ $1,000,000 ☐ Other ____________
	$	$	$	$	☐ None ☐$25,000 ☐ $50,000 ☐ $100,000 ☐ $250,000 ☐ $500,000 ☐ $1,000,000 ☐ Other ____________
	$	$	$	$	☐ None ☐$25,000 ☐ $50,000 ☐ $100,000 ☐ $250,000 ☐ $500,000 ☐ $1,000,000 ☐ Other ____________
Grand Total				$___________	

TODAY'S TRADE INFORMATION – COMPLETE THIS PAGE FOR TODAY's SHARE PURCHASES ONLY.

FUNDS PURCHASED (PLEASE COMPLETE FOR EACH FUND). FOR A SHARE PURCHASES, PLEASE PROVIDE THE ANNUAL FUND EXPENSE. **FOR B or C SHARES, PLEASE COMPLETE THE ANNUAL EXPENSES FOR BOTH THE B OR C SHARE AS WELL AS THE A SHARE FOR COST COMPARISION PURPOSES.**

Today's Transaction Amount $_________________ Time Horizon: ☐ 1 to 3 Years ☐ 4 to 7 years ☐ 8 + years

Indicate amount and frequency of Period Investment Plan (PIP) if any: $__________ ☐ Monthly ☐ Quarterly ☐ Other

FUNDS PURCHASED (PLEASE COMPLETE FOR EACH FUND)

Mutual Fund Company	Mutual Fund(s)	Investment Amount	% Annual Expenses in Class A Shares	% Annual Expenses in Class B/C Shares	Indicate the CDSC (%) for Each year (for B or C shares only)
		$			___Year 1 ___Year 2 ___ Year 3
		$			___Year 4 ___Year 5 ___ Year 6
		$			___Year 7 ___Year 8
		$			
		$			___Year 1 ___Year 2 ___ Year 3
		$			___Year 4 ___Year 5 ___ Year 6
		$			___Year 7 ___Year 8
		$			
		$			___Year 1 ___Year 2 ___ Year 3
		$			___Year 4 ___Year 5 ___ Year 6
		$			___Year 7 ___Year 8
		$			
		$			___Year 1 ___Year 2 ___ Year 3
		$			___Year 4 ___Year 5 ___ Year 6
		$			___Year 7 ___Year 8
		$			
Total Purchase		**$**			

INDICATE BEST AVAILABLE CLASS A SHARE BREAKPOINT

Many fund companies include most share classes for rights of accumulation purposes. based on current holdings listed on page one and today's purchase, please indicate the best available class A share breakpoint the client would be eligible for and the fund company at which they are eligible.	Mutual Fund Company ___________________	☐ None ☐$25,000 ☐$50,000 ☐$100,000 ☐$250,000 ☐$500,000 ☐$1,000,000 ☐Other ____________________

CLIENT ACKNOWLEDGEMENT

CLASS A SHARE DISCLOSURE

- I/We understand that based on the existing mutual fund holdings listed on page one, I/we may have been eligible for a breakpoint if all the mutual fund holdings were held in Class A shares at one fund family.

CLASS B SHARE DISCLOSURES

- I/We understand that based on the existing mutual fund holdings listed on page one, I/we may have been eligible for a breakpoint if all the mutual fund holdings were held in class A shares at one fund family.
- I/We am/are aware and understand that there are higher annual expenses associated with class B shares than those charged on class A shares.
- I/We also understand that I/we may be charged a Contingent Deferred Sales Charge (CDSC) if I/we liquidate my/our class B share investment during the holding period.
- I/We understand that after the CDSC period ends, the class B shares will convert to class A shares and expenses will be lower.
- I/We understand class A shares have an up-front sales load that may be reduced as breakpoints are crossed. Due to the up-front sales load, the annual expenses in class A shares are typically lower than class B shares. However, the fees associated with class B shares may be lower depending on the amount invested and length of time held.

CLASS C SHARE DISCLOSURES

- I/We understand that based on the existing mutual fund holdings listed on page one, I/we may have been eligible for a breakpoint if all the mutual fund holdings were held in class A shares at one fund family.
- I/We am/are aware and understand that there are higher annual expenses associated with class C shares of funds than those charged on class A shares.
- I/We also understand that I/we may be charged a Contingent Deferred Sales Charge (CDSC) if I/we liquidate my/our class C share investment during the holding period.
- I/We understand class A shares have an up-front sales load that may be reduced as breakpoints are crossed. Due to the up-front sales load, the annual expenses in class A shares are typically lower than class C shares. However, the fees associated with class C shares may be lower depending on the amount invested and length of time held.

GENERAL

- I/We have provided or declined to provide all information related to existing mutual fund positions on page one.
- I/We have read and understood the disclosures applicable to today's trade.
- I/We understand that the mutual fund company or companies may compensate my/our Financial Professional (FP) or Avantax.
- I/We understand that for complete details regarding a specific investment, I/we should refer to each mutual fund's prospectus.
- I/We understand that if I/we invest in different classes of funds and/or different fund companies, I/we may not be able to take advantage of reduced sales charges I/we might receive through breakpoints if I/we invested in class A shares of one mutual fund company.

For access to a tool that can help you analyze how sales loads, fees, commissions, and other expenses can affect the performance of a fund, please visit https://tools.finra.org/fund_analyzer/.

SIGNATURE	
Client Signature:	Date:
Client Signature:	Date:

Financial Professional Signature:	Date:
Financial Professional Name:	FP Number:

INTERNAL USE ONLY	
☐ Approve ☐ Reject	
Sales Supervisor:	
Sales Supervisor Signature:	Date: