

1 Employer Information

Plan Number (assigned by Prime Plan)

Plan Name

Permanent Street Address (no P.O. Boxes)

Mailing Address (if different from above)

City State Zip

2 Employee (Participant) Information

First Name Middle Last

Social Security Number

Driver's License #

State of Issuance

Expiration Date (mm/dd/yyyy) / /

Date of Birth (mm/dd/yyyy) / /

Date of Hire (mm/dd/yyyy) / /

Street Address (no P.O. Boxes)

Mailing Address (if different from above)

City State Zip

Phone Number (Home) (Work)

Email Address

Marital Status: Married Single

3 Financial Profile

Annual Income From All Sources	Estimated Net Worth Excluding Primary Residence	Tax Bracket Federal
<input type="checkbox"/> Under \$25,000	<input type="checkbox"/> Under \$50,000	<input type="checkbox"/> 15% or Below
<input type="checkbox"/> \$25,000 - \$50,000	<input type="checkbox"/> \$50,000 - \$100,000	<input type="checkbox"/> 25% to 27.5%
<input type="checkbox"/> \$50,001 - \$100,000	<input type="checkbox"/> \$100,001 - \$500,000	<input type="checkbox"/> 27.5% or above
<input type="checkbox"/> Over \$100,000	<input type="checkbox"/> Over \$500,000	

Investable/Liquid Assets: Including cash and securities	Account Funding Source
<input type="checkbox"/> Under \$50,000	<input type="checkbox"/> Asset Appreciation
<input type="checkbox"/> \$50,000 - \$100,000	<input type="checkbox"/> Saving from Earnings
<input type="checkbox"/> \$100,001 - \$500,000	<input type="checkbox"/> Sale of Assets
<input type="checkbox"/> Over \$500,000	<input type="checkbox"/> Other: _____

4 Investment Profile

Investment Objectives
Rank your investment objectives for this account in order of importance (1 being the highest).

Preservation of Capital
 Income
 Capital Appreciation
 Speculation
 Trading Profits
 Other: _____

Risk Tolerance

Conservative
 Moderate
 Aggressive
 Combination: _____

Investment Time Horizon

Short (0-5 years)
 Intermediate (6-10 years)
 Long (over 10 years)
 Combination: _____

General Investment Knowledge

Good
 Extensive
 Limited

5 Employee Contribution

For each pay period, enter the amount of your salary that you want contributed to your retirement account. The amount you enter must be in \$1.00 increments.

Pre-Tax 403(b) Contribution \$ _____ per pay
 After-Tax Roth Contribution \$ _____ per pay

6 **Beneficiary Information**

If you are married and your plan is subject to the Employee Retirement Income Security Act (ERISA) (i.e., your employer is not a government unit or church) and you do not designate your spouse as your primary beneficiary, then your spouse must sign a Spousal Consent form. Please check with your employer about spousal consent and any additional beneficiary requirements specific to your plan.

Primary Beneficiary:

Name/Entity

Relationship

Percentage Share: _____ %

Date of Birth (mm/dd/yyyy) ____ / ____ / _____

□ □ □ - □ □ - □ □ □ □
Social Security Number

Permanent Street Address (no P.O. Boxes)

Mailing Address (if different from above)

City State Zip

Contingent Beneficiary:

Name/Entity

Relationship

Percentage Share: _____ %

Date of Birth (mm/dd/yyyy) ____ / ____ / _____

□ □ □ - □ □ - □ □ □ □
Social Security Number

Permanent Street Address (no P.O. Boxes)

Mailing Address (if different from above)

City State Zip

7 **Program Fee**

In addition to the annual \$40.00 administration fee and 0.50% Program Fee outlined in your custodial agreement, you may select the following options:

- Financial Advisor Program 0.75% (of assets/year)
- Third Party Managed Allocation Program 0.60% (of assets/year)
(Requires the Prime Plan Managed Allocation Agreement)

The total fee deducted from your account will be the annual \$40.00 administration fee, the 0.50% program fee, plus any selected options.

8 **Individual Authorization**

Once your enrollment package is processed, your 403(b) portfolio will be available online. You will be sent your username and password via regular mail or email.

By executing this Enrollment Form:

I hereby adopt the Prime Plan 403(b) (7) Custodial Account (the Program) and certify that I have received and read the Custodial Agreement for the Program;

I acknowledge that I must read the prospectus of any mutual fund in which I invest and agree to the terms.

I understand that I may designate a beneficiary for my assets accumulated under the Program, and that if I choose not to designate a beneficiary, my beneficiary will be my surviving spouse or, if I do not have a surviving spouse, my estate.

Along with the governing laws for 403(b) plans, your plan sponsor determines your plan's provisions. You can read these rules in your plan document or summary plan description. We apply these rules as we administer your account.

I certify under penalties of perjury that: (1) I am a U.S. person (including a U.S. resident alien) and the Social Security or taxpayer identification number provided above is correct; and (2) I am not subject to IRS backup withholding because: (a) I am exempt from backup withholding; or (b) I have not been notified by the IRS that I am subject to backup withholding as a result of a failure to report all interest or dividends; or (c) I have been notified by the IRS that I am no longer subject to backup withholding.

I acknowledge that Prime Plan will set up a Money Market Fund in my name to receive my contributions forwarded to Prime Plan by my plan sponsor prior to my allocation of other investment selections. I further acknowledge that this money market position is neither insured nor guaranteed by the Federal Deposit Insurance Corporation or any other U.S. Government agency. Although money market funds seek to preserve their value at \$1.00 per share, it is possible to lose money by investing in a money market fund.

I agree that in the event that the status of a no-transaction fee mutual fund is charged to a transaction fee mutual fund, all new money designated for that fund will be deposited into my money market fund. In addition, all fees will be deducted proportionately from non-transaction fees only.

I agree to the Terms and Conditions of use set forth in the Plan Trust Document, agreements and fee schedules. Once enrolled, I will log in and review all necessary documents.

I agree to log into my account to complete my enrollment, make my investment decisions and review the Terms and Conditions of use of the Prime Plan Internet based portfolios access tools.

I agree that I will receive all documentation related to my Investments in an electronic form, including all account statements, transaction confirmations, tax documentation, and mutual fund prospectuses and periodic reports.

I authorize Asset & Financial Planning Ltd., Registered Investment Advisor, to deduct from my account asset based fees per the rate I selected in Section 5. If I did not select a rate, I agree that my Program fee rate will default to 0.50% of assets per year. In addition, I authorize Asset & Financial Planning Ltd. to effect transactions in the account, including, but not limited to, Periodic Investment Plans.

9 Resolving Disputes – Arbitration

This agreement contains a pre-dispute arbitration clause, which becomes binding on all parties when you sign your account application, you, we, and NFS agree as follows:

- a. All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- b. Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- c. The ability of parties to obtain documents, witness statements, and other discovery is generally more limited in arbitration than in court proceedings.
- d. The arbitrators do not have to explain the reason(s) for their award.
- e. The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- f. The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- g. The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

All controversies that may arise between you, us, and NFS concerning any subject matter, issue, or circumstance whatsoever (including, but not limited to, controversies concerning any account, order or transaction or the continuation, performance, interpretation or breach of this or any other agreement between you, us and NFS, whether entered into or arising before, on or after the date this account is opened) shall be determined by arbitration in accordance with the rules then prevailing of the Financial Industry Regulatory Authority (FINRA) or any United States securities self-regulatory organization or United States securities exchange of which the person, entity or entities against whom the claim is made is a member, as you may designate. If you designate the rules of a United States self-regulatory organization or United States securities exchange and those rules fail to be applied for any reason, then you shall designate the prevailing rules of any other United States securities self-regulatory organization or United States securities exchange of which the person, entity or entities against whom the claim is made is a member. If you do not notify us in writing of your designation with five (5) days after such failure or after you receive from us a written demand for arbitration, then you authorize us and/or NFS to make such designation on your behalf. The designation of the rules of a United States self-regulatory organization or United States securities exchange is not integral to the underlying agreement to arbitrate. You understand that judgment upon any arbitration award may be entered in any court of competent jurisdiction. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action; or who is a member of a putative class action who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; or (ii) the class is decertified; or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein.

10 Investment Selection

Below are the initial investment choices for my 403(b) account. I acknowledge and agree to go online to access my 403(b) account to verify my investment choices are setup correctly and to make any changes to my investment choices.

If total allocation does not exactly equal 100%, investment election may default to 100% Money Market.

<u>Mutual Fund Name</u>	<u>Symbol</u>	
_____	_____	%
_____	_____	%
_____	_____	%
_____	_____	%
_____	_____	%
_____	_____	%
_____	_____	%
_____	_____	%
_____	_____	%
Total Allocation (must equal 100%)		%

Participant Signature (mm/dd/yyyy)

For Prime Plan Use Only

Participant # Assigned

Reg. Rep. Signature

Rep # and Branch

Approving Manager's Signature