



# Coverdell Education Savings Account Application

Mail To: The Plumb Funds  
c/o U.S. Bancorp Fund Services, LLC  
PO Box 701  
Milwaukee, WI 53201-0701

Overnight Express Mail To: The Plumb Funds  
c/o U.S. Bancorp Fund Services, LLC  
615 E. Michigan St., FL 3  
Milwaukee, WI 53202-5207

For additional information please call toll-free **866-987-7888** or visit us on the web at **www.plumbfunds.com**.

In compliance with the USA PATRIOT Act, all mutual funds are required to obtain the following information for all registered owners and all authorized individuals: **full name, date of birth, Social Security number, and permanent street address**. This information will be used to verify your true identity. We will return your application if any of this information is missing, and we may request additional information from you for verification purposes. In the rare event that we are unable to verify your identity, the Fund reserves the right to redeem your account as an age-appropriate distribution at the current day's net asset value.

### 1. Designated Beneficiary

(Account Holder)

FIRST NAME	M.I.	LAST NAME
PERMANENT STREET ADDRESS (P.O. BOX NOT ACCEPTABLE)		CITY / STATE / ZIP
SOCIAL SECURITY NUMBER		BIRTHDATE (Mo / Dy / Yr)

### 2. Responsible Party

FIRST NAME	M.I.	LAST NAME
PERMANENT STREET ADDRESS (P.O. BOX NOT ACCEPTABLE)		CITY / STATE / ZIP
DAYTIME PHONE NUMBER	RELATIONSHIP TO DESIGNATED BENEFICIARY	
SOCIAL SECURITY NUMBER		BIRTHDATE (Mo / Dy / Yr)
DRIVER'S LICENSE OR STATE I.D. NUMBER		STATE OF ISSUE

**The following 2 options will be added to your account. If you do not want these options, check the boxes below.**

- I. The responsible party wishes to continue to control the account after the Account Holder attains age of majority in his/her state in accordance with the terms described in the optional portion of Article V of the Coverdell Education Savings Account agreement.
  - The responsible party does not wish to control the account after age of majority.
- II. The responsible party may change the beneficiary designated under this agreement to another member of the designated beneficiary's family described in Article VI of the Coverdell Education Savings Account agreement.
  - The responsible party may not change the beneficiary.

### 3. Account Type

Refer to disclosure statement for eligibility requirements and contribution limits.

Select one of the following account types:

- Coverdell Education Savings Account (CESA)  
For Tax Year \_\_\_\_\_
- Rollover Account – specify the type of rollover:
  - Account Holder's CESA to Account Holder's CESA
  - Qualifying Family Member's CESA to Account Holder's CESA
- Transfer Account – a direct transfer from current CESA custodian.

- 4. Investment Choices**  By check: Make check payable to The Plumb Funds. \$ \_\_\_\_\_  
 By wire: Call 1-866-987-7888. Indicate amount of wire \$ \_\_\_\_\_

Fund Name		Investment Amount \$1000 Minimum	Optional Automatic Investment Plan \$50 Minimum      AIP Start Month      Day		
<input type="checkbox"/> Plumb Balanced Fund	2020	\$ _____	\$ _____	_____	_____
<input type="checkbox"/> Plumb Equity Fund	2021	\$ _____	\$ _____	_____	_____
<input type="checkbox"/> Money Market - First American Prime Obligations Fund	2022	\$ _____	\$ _____	_____	_____

- 5. Bank Options** You may establish bank instructions to send money via FedWire or Automatic Clearing House (ACH). Please attach a voided check or pre-printed savings deposit slip to Section 8 of this application.

- Please establish FEDWIRE bank instructions on my account.  
 Please establish ACH bank instructions on my account.

**Please note:** FEDWIREs may be subject to a bank fee.

- 6. Telephone Transactions** Your account(s) will be granted telephone purchase, and exchange privileges unless you check the boxes below. Please see the prospectus for more details on these features.

**Please note:** You must attach a voided check or preprinted savings deposit slip to Section 8 of this application if you wish to have telephone purchase privileges. You must also have these options on your account if you wish to use our online trading feature.

- I DECLINE the TELEPHONE PURCHASE option for my account.  
 I DECLINE the TELEPHONE EXCHANGE option for my account.

- 7. Automatic Investment Plan** Based on the instructions in Section 4, funds will be automatically transferred from the checking or savings account on the slip below:

Your signed application must be received at least 15 business days prior to initial transaction.

A voided bank check or preprinted savings deposit slip (not a counter deposit slip) is required.

**ATTACH VOIDED CHECK OR  
PREPRINTED SAVINGS DEPOSIT  
SLIP HERE**

- A fee will be assessed if your bank refuses the automatic purchase draw.
- Participation in the plan will be terminated upon redemption of all shares.
- Automatic Investments will be reported as current year contributions

- 8. Beneficiary Information (Due To Death)** *(If you need more space, please enclose a separate sheet of paper.)*

**Primary**

NAME \_\_\_\_\_ RELATIONSHIP \_\_\_\_\_ CITY / STATE / ZIP \_\_\_\_\_ SOCIAL SECURITY NUMBER \_\_\_\_\_ DOB \_\_\_\_\_ % \_\_\_\_\_

**Secondary**

NAME \_\_\_\_\_ RELATIONSHIP \_\_\_\_\_ CITY / STATE / ZIP \_\_\_\_\_ SOCIAL SECURITY NUMBER \_\_\_\_\_ DOB \_\_\_\_\_ % \_\_\_\_\_

## 9. Signature

I have read and understand the Disclosure Statement and Custodial Account Agreement. I adopt The Plumb Funds Custodial Account Agreement, as it may be revised from time to time, and appoint the Custodian or its agent to perform those functions and appropriate administrative services specified. I have received and read the prospectus for The Plumb Funds (the "Funds"). I understand the Funds' objectives and policies and agree to be bound to the terms of the prospectus. Before I request an exchange, I will obtain the current prospectus for each Fund. I acknowledge and consent to the householding (i.e. consolidation of mailings) of documents such as prospectuses, shareholder reports, proxies, and other similar documents. I may contact the Funds to revoke my consent. I agree to notify the Funds of any errors or discrepancies within 45 days after the date of the statement confirming a transaction. The statement will be deemed to be correct, and the Funds and its transfer agent shall not be liable if I fail to notify The Plumb Funds within such time period. I certify that I as the Responsible Party am of legal age and have the legal capacity to make this purchase.

I understand that the fees relating to my account may be collected by redeeming sufficient shares. The Custodian may change the fee schedule at any time.

I authorize the Fund to perform a credit check based on the information provided, if necessary.

The Funds, the applicable Fund, its transfer agent, and any officers, directors, employees, or agents of these entities (collectively "The Plumb Funds") will not be responsible for banking system delays beyond their control. By completing sections 4, 5, or 6, I authorize my bank to honor all entries to my bank account initiated through U.S. Bank, NA, on behalf of the applicable Fund. The Plumb Funds will not be liable for acting upon instruction believed to be genuine and in accordance with the procedures described in the prospectus or the rules of the Automated Clearing House. When AIP or Telephone Purchase transactions are presented, sufficient collected funds must be in my account to pay them. I agree that my bank's treatment and rights to respect each entry shall be the same as if it were signed by me personally. I agree that if any such entries are dishonored with good or sufficient cause, my bank shall be under no liability whatsoever. I further agree that any such authorization, unless previously terminated by my bank in writing, is to remain in effect until the Funds' transfer agent receives and has had reasonable amount of time to act upon a written notice of revocation.

\_\_\_\_\_  
DEPOSITOR / LEGALLY RESPONSIBLE INDIVIDUAL'S SIGNATURE

\_\_\_\_\_  
DATE (Mo / Dy / Yr)

Appointment as Custodian accepted:  
U.S. BANK, NA



## 10. Dealer / Broker Information

Please be sure to complete representative's first name and middle initial.

\_\_\_\_\_  
DEALER NAME

\_\_\_\_\_  
REPRESENTATIVE'S LAST NAME

\_\_\_\_\_  
FIRST NAME

\_\_\_\_\_  
MI

DEALER HEAD OFFICE INFORMATION:

REPRESENTATIVE'S BRANCH OFFICE INFORMATION:

\_\_\_\_\_  
ADDRESS

\_\_\_\_\_  
ADDRESS

\_\_\_\_\_  
CITY / STATE / ZIP

\_\_\_\_\_  
CITY / STATE / ZIP

\_\_\_\_\_  
TELEPHONE NUMBER

\_\_\_\_\_  
TELEPHONE NUMBER

### Before you mail, have you:

- Completed all USA PATRIOT Act required information?
  - Social Security or Tax ID Number in Sections 1 and 2?
  - Birth Date in Sections 1 and 2?
  - Full Name in Sections 1 and 2?
  - Permanent street address in Sections 1 and 2?

- Enclosed your check made payable to The Plumb Funds?
- Included a voided check, if applicable?
- Signed your application in Section 9?