



# The Plumb Funds New Account Application

Please do not use this form for IRA accounts.

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 financial institutions (including mutual funds) are required to obtain, verify and record the following information for all registered owners or others who may be authorized to act on an account: **full name, date of birth, Social Security number and permanent street address. Corporate, trust, and other entity accounts require additional documentation.** 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 at the current day's net asset value.

## 1. Investor Information – Select one

Individual

FIRST NAME M.I. LAST NAME DOB (Mo / Dy / Yr)

SOCIAL SECURITY NUMBER DRIVER'S LICENSE OR STATE I.D. NUMBER STATE OF ISSUE

Joint Owner

FIRST NAME M.I. LAST NAME DOB (Mo / Dy / Yr)

SOCIAL SECURITY NUMBER DRIVER'S LICENSE OR STATE I.D. NUMBER STATE OF ISSUE

*Registration will be Joint Tenancy with Rights of Survivorship (JTWRROS), unless otherwise specified.*

Gift to Minor

CUSTODIAN'S FIRST NAME M.I. LAST NAME DOB (Mo / Dy / Yr)

(ONLY ONE PERMITTED)

CUSTODIAN'S SOCIAL SECURITY NUMBER DRIVER'S LICENSE OR STATE I.D. NUMBER STATE OF ISSUE

MINOR'S FIRST NAME M.I. LAST NAME DOB (Mo / Dy / Yr)

(ONLY ONE PERMITTED)

MINOR'S SOCIAL SECURITY NUMBER MINOR'S STATE OF RESIDENCE

Corporation/  
Trust\*

NAME OF TRUST/CORPORATION/PARTNERSHIP AND STATE OF ORGANIZATION

Partnership\*

NAME(S) OF TRUSTEE(S)

Other Entity\*

SOCIAL SECURITY NUMBER / TAX I.D. NUMBER DATE OF AGREEMENT (Mo / Dy / Yr)

\* You must supply documentation to substantiate existence of your organization. (i.e., Articles of Incorporation/Formation / Organization, Trust Agreements, Partnership Agreement, or other official documents.)

**Remember to include a separate sheet detailing the full name, date of birth, Social Security number, and permanent street address for all authorized individuals.**

**2. Permanent Street Address** (P.O. Box is not acceptable)  
(Residential Address or Principal Place of Business – No Foreign Addresses)

STREET \_\_\_\_\_ APT / SUITE \_\_\_\_\_  
 CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_  
 DAYTIME PHONE NUMBER \_\_\_\_\_ EVENING PHONE NUMBER \_\_\_\_\_

**Mailing Address (if different from Permanent):**

*If completed, this address will be used as the Address of Record for all statements, checks and required mailings. No foreign addresses.*

STREET \_\_\_\_\_ APT / SUITE \_\_\_\_\_  
 CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

**Duplicate Statement #1**

*Complete only if you wish someone other than the account owner(s) to receive duplicate statements.*

NAME \_\_\_\_\_  
 STREET \_\_\_\_\_ APT/SUITE \_\_\_\_\_  
 CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

**Duplicate Statement #2**

*Complete only if you wish someone other than the account owner(s) to receive duplicate statements.*

NAME \_\_\_\_\_  
 STREET \_\_\_\_\_ APT/SUITE \_\_\_\_\_  
 CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

**3. Investment Choices**

By check: Make check payable to The Plumb Funds. \$ \_\_\_\_\_

*Note: Generally, cashier's checks of \$10,000 or less, money orders of any amount, and third party checks are not accepted.*

By wire: Call 866-987-7888. Indicate amount of wire \$ \_\_\_\_\_

**Fund Name**

**Investment Amount**

\$2500 Minimum

**Distribution Options**

Capital Gains & Dividends Reinvested	Capital Gains Reinvested & Dividends in Cash*	Capital Gains & Dividends in Cash*
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<input type="checkbox"/> Plumb Balanced Fund	2020	\$ _____
<input type="checkbox"/> Plumb Equity Fund	2021	\$ _____
<input type="checkbox"/> Money Market Fund - First American Prime Obligations Fund	2022	\$ _____

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

*If nothing is checked, all distributions will be reinvested.*

\* Unless otherwise indicated, cash distributions will be mailed to the address in Section 2.

**4. Automatic Investment Plan**

If you choose this option, funds will be automatically transferred from your bank account monthly. Please attach a voided check or savings deposit slip to Section 7 of this application. We are unable to debit mutual fund or pass-through ("for further credit") accounts.

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

		Amount per Draw (\$50 Minimum)	AIP Start Month	AIP Start Day
<input type="checkbox"/> Plumb Balanced Fund	2020	\$ _____	_____	_____
<input type="checkbox"/> Plumb Equity Fund	2021	\$ _____	_____	_____
<input type="checkbox"/> Money Market Fund - First American Prime Obligations Fund	2022	\$ _____	_____	_____

**Please keep in mind that:**

- There is a fee if the automatic purchase cannot be made (assessed by redeeming shares from your account).
- Participation in the plan will be terminated upon redemption of all shares.

## 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, redemption 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 REDEMPTION option for my account.  
 I DECLINE the TELEPHONE EXCHANGE option for my account.

## 7. Systematic Withdrawal Plan

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

Systematic Withdrawal Plan (\$50 minimum and \$10,000 account value minimum) – permits the automatic withdrawal of funds.

- Payments will be mailed to address in Section 2

**-OR-**

- Payments will be deposited directly into your bank account. Please attach a voided check or savings deposit slip to Section 7 of this application. We are unable to credit mutual fund or pass-through (“for further credit”) accounts.

Make payments  Monthly  Quarterly  Annually starting with the month given here:

		Amount per Withdrawal	SWP Start Month	SWP Start Day
<input type="checkbox"/> Plumb Balanced Fund	2020	\$ _____	_____	_____
<input type="checkbox"/> Plumb Equity Fund	2021	\$ _____	_____	_____
<input type="checkbox"/> Money Market Fund - First American Prime Obligations Fund	2022	\$ _____	_____	_____

## 8. Voided Check for Bank Information

If you have selected an automatic investment plan, wire redemptions, EFT purchases, EFT redemptions or a systematic withdrawal plan, a voided bank check or preprinted savings deposit slip (not a counter deposit slip) is required. We are unable to debit or credit mutual fund or pass-through accounts.

Please contact your financial institution to determine if it participates in the Automated Clearing House system (ACH).

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

## 9. Check Redemption Option

Establish check redemption privileges for the Money Market Fund. Checks will be mailed within ten business days after your account is opened. There is a \$100 minimum for any check written.

First American Prime Obligations Fund

I/We guarantee the authenticity of each signature and understand the request is subject to the terms below.

### Authorized Signatures

(For joint accounts, all owners must sign.)

One signature required

Two signatures required

X \_\_\_\_\_

X \_\_\_\_\_

X \_\_\_\_\_

I/We authorize U.S. Bank to honor these share drafts and to redeem sufficient shares in my account to cover payment of such checks. I understand that: (1) this privilege may be terminated at any time by the Fund or the bank and that neither shall incur any liability for loss or expense or cost to me for honoring checks, or for effecting redemptions to pay checks, or for returning checks which have not been accepted; (2) checks drawn on a joint account will require the signature of one registered owner; (3) by signing this card I/we certify that each of the statements set forth on the purchase application are true and accurate.

## 10. Signature and Certification Required by the Internal Revenue Service

I have received and understand the prospectus for The Plumb Funds (the "Funds"). I understand the Funds' investment objectives and policies and agree to be bound by 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 regulatory 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 their transfer agent shall not be liable if I fail to notify the Funds within such time period. I certify that I am of legal age and have legal capacity to make this purchase.

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, 6, or 7, 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 with respect to 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.

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

**Under penalty of perjury, I certify that (1) the Social Security number or taxpayer identification number shown on this form is my correct taxpayer identification number, and (2) I am not subject to backup withholding either as a result of a failure to report all interest or dividends, or the IRS has notified me that I am no longer subject to backup withholding. (3) I am a U.S. person (including a U.S. resident alien).**

**The IRS does not require your consent to any provision of this document other than the certification required to avoid backup withholding.**

\_\_\_\_\_  
SIGNATURE OF OWNER\*

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

\_\_\_\_\_  
SIGNATURE OF OWNER\*

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

\*If shares are to be registered in (1) joint names, both persons must sign, (2) a custodian for a minor, the custodian should sign, (3) a trust, the trustee(s) should sign, or (4) a corporation or other entity, an officer should sign and print name and title on the space provided for the Joint Owner.

## 11. Dealer 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 Section 1?
- Birth Date in Section 1?
- Full Name in Section 1?
- Permanent street address in Section 2?

Enclosed your personal check made payable to The Plumb Funds?

(Reminder: Generally, cashier's checks of \$10,000 or less, money orders of any amount, and third party checks are not accepted.)

Included a voided check, if applicable?

Signed your application in Section 10?

Enclosed additional documentation, if applicable?