



# Investment Application

For Estates

For Saturna use only:

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For assistance, please call:  
1-800-728-8762



## Return completed applications to:

Saturna Capital Corporation  
P.O. Box N  
Bellingham, WA 98227-0596

Overnight address: Saturna Capital Corporation  
1300 N. State St.  
Bellingham, WA 98225

## Required Documentation:

1. This Investment Application
2. Copy of Death Certificate
3. Letters Testamentary

## SECTION A – ESTATE INFORMATION

Full Legal Name

\_\_\_\_\_

Tax ID Number

\_\_\_\_\_

Decedent's Account Number

\_\_\_\_\_

## SECTION B – EXECUTOR / EXECUTRIX

Full Legal Name

Preferred Salutation (optional)  Mr.  Mrs.  Ms.  Dr.

\_\_\_\_\_

Social Security Number or Tax ID Number

\_\_\_\_\_

Date of Birth (MM-DD-YYYY)

\_\_\_\_\_

Identification (Required)

ID Type:  Driver's License  Passport  State ID  Other Government ID

State/Country of Issuance

\_\_\_\_\_

\_\_\_\_\_



**Identification.** Please attach a legible photocopy of an unexpired driver's license, passport, or other government-issued identity document.

## SECTION C – ADDRESS AND CONTACT INFORMATION

Physical / Street Address (Required - P.O. Boxes are not accepted)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

City

State

Zip

Mailing Address (Optional)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

City

State

Zip

Preferred Phone

\_\_\_\_\_

Alternate Phone

\_\_\_\_\_

E-mail

\_\_\_\_\_

E-mail is required to establish online access to your account.

You may use the Online Access and E-Delivery form to setup online access and e-delivery preferences, and to link multiple accounts together.

Once you receive your welcome letter with your registration number, you may also contact Saturna or visit [www.saturna.com/user](http://www.saturna.com/user) to establish online access to your account.

For more information about Saturna's electronic delivery policies, please visit [www.saturna.com/edelivery](http://www.saturna.com/edelivery)

## SECTION D – TRANSFER OF SHARES

Please transfer all shares from the decedent's registration referenced in Section A to an account registered to the estate of the decedent. Upon transfer of the assets to the heir(s) of the estate, please:

(Choose only one - if you are unsure what option is best for you, please consult an estate planner or tax professional.)

Step up the cost basis using the following Date of Death/Fair Market Value Date

Do not step up the cost basis; transfer all shares using the original cost basis

## SECTION E – OTHER INFORMATION

### Cost Basis Accounting Method: First In, First Out (FIFO)

IRS Regulations require mutual fund companies to report shareowner cost basis information on shares acquired in taxable accounts on or after January 1, 2012.

Saturna's default cost basis accounting method is First In, First Out (FIFO). A Cost Basis form is required to change cost basis accounting method.

For more information, please visit [www.saturna.com/costbasis](http://www.saturna.com/costbasis) or call us toll free at 1-800-728-8762.

### Telephone Redemption Privileges

You automatically have telephone redemption by check and telephone exchange privileges unless you strike this line. (Procedures may include requiring a form of personal identification. The Funds also provide written confirmation of transactions.)

## SECTION F – SIGNATURES

### Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number; and

2. I am not subject to backup withholding because:

- I am exempt from backup withholding; or
- I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest and dividends; or
- The IRS has notified me that I am no longer subject to backup withholding (cross out this item 2 if you have been notified by the IRS that you are currently subject to backup withholding).

3. I am a US citizen or other US person. For federal tax purposes, you are considered a US person if you are:

- An individual who is a US citizen or US resident alien; or
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States; or
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Treasury Regulation 301.7701-7).

4. I am exempt from FATCA reporting.

5. I understand that my property may be transferred to the appropriate state if no activity occurs in the account within the time period specified by state law.

6. I have read and understood the prospectus and/or summary prospectus of each fund selected.

7. For joint accounts, each joint owner irrevocably appoints the other joint owner(s) as attorney-in-fact to take all action on behalf of and to represent in all respects each other joint owner(s). Each joint owner shall be liable, jointly and individually, for any amounts due to Saturna, incurred by any other joint owner(s).

If I fail to give the correct number or fail to sign this form, Saturna Capital and/or its affiliates may reject, restrict, or redeem my account. I may also be subject to backup withholding, and I may be subject to an IRS penalty. The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Executor / Executrix

Date (MM-DD-YYYY):

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**Only original applications with original signatures will be accepted. To prevent delays in account opening, sign using a blue or black pen and mail to the address listed below. We cannot accept digital signatures of any kind.**

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Opened by: \_\_\_\_\_ Date: \_\_\_\_\_

Approved by: \_\_\_\_\_ Date: \_\_\_\_\_