

Use this *TRADITIONAL/SEP IRA Application* to open a Traditional IRA.

**IMPORTANT:** In compliance with the USA PATRIOT Act, Federal law requires all financial institutions (including mutual funds) to obtain, verify, and record information that identifies each person who opens an account.

**WHAT THIS MEANS FOR YOU:** When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask for additional identifying documents. The information is required for all owners, co-owners, or anyone who will be signing or completing a transaction on behalf of a legal entity that will own the account. We will return your application if any of this information is missing. If we are unable to verify this information, your account may be closed and you will be subject to all applicable costs. If you have any questions regarding this application, please call Shareholder Services at 1-800-494-2755.

Please note that a \$15.00 annual maintenance/custodian fee will be charged.

**PART I-A: TRADITIONAL IRA OWNER INFORMATION (DECEASED INDIVIDUAL IF ESTABLISHED AS INHERITED IRA)**

Name: \_\_\_\_\_ Taxpayer ID Number: \_\_\_\_\_

Residence Address: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Primary Phone: \_\_\_\_\_ Email Address: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Date of Death (if applicable): \_\_\_\_\_

U.S. Citizen

For mailing outside of U.S., provide:

\_\_\_\_\_  
Country of Residence

\_\_\_\_\_  
Province

\_\_\_\_\_  
Foreign Routing/Postal Code

Check to indicate the IRA is established after the death of the individual named above, with either a direct rollover or transfer. If checked, complete Part I-B of the *Traditional/SEP IRA Application*.

**PART I-B: INHERITED IRA OWNER INFORMATION (COMPLETE THIS SECTION FOR INHERITED IRAS ONLY)**

Note: Inherited IRAs may only be established with assets acquired by a nonspouse beneficiary due to the death of the individual named above.

Name: \_\_\_\_\_ Taxpayer ID Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Residence Address: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Primary Phone: \_\_\_\_\_ Email Address: \_\_\_\_\_

**PART II: CONTRIBUTION INFORMATION**

Source of Funds (Select One):

- Regular/Spousal Contribution      Amount: \_\_\_\_\_      Tax Year: \_\_\_\_\_
- Recharacterization      Amount: \_\_\_\_\_      Tax Year: \_\_\_\_\_
- Employer SEP Contribution      Amount: \_\_\_\_\_
- Direct Transfer      Source:     Traditional IRA       SEP IRA       SIMPLE IRA\*
- Rollover      Source:     Traditional IRA       SEP IRA       SIMPLE IRA\*  
     Employer-Sponsored Plan (e.g., 401(a), 401(k), 403(b), governmental 457(b))
- Other      Explain: \_\_\_\_\_

\*You may not transfer or rollover SIMPLE IRA assets to a Traditional IRA until at least two years have elapsed from the time of your initial participation in your employer’s SIMPLE IRA plan. The minimum investment for each fund is \$2,500.

**PART III: INVESTMENT SELECTION**

Name of Investment	Share Class (if applicable)	Allocation
1. Conestoga Small Cap Fund	Investor	\$                      or                      %
2. Conestoga SMid Cap Fund	Investor	\$                      or                      %

**PART IV: BENEFICIARY DESIGNATION**

Traditional IRA Owner (or Inherited IRA Owner) designate beneficiaries below. If the primary or contingent status is not indicated, the individual or entity will be considered a primary beneficiary. After your death, the Traditional IRA assets will be distributed in equal shares (unless indicated otherwise) to the primary beneficiaries who survive you. If no primary beneficiaries are living when you die, the Traditional IRA assets will be distributed in equal shares (unless otherwise indicated) to the contingent beneficiaries who survive you. The interest of any beneficiary that predeceases the IRA owner terminates completely, and the percentage share of any remaining beneficiaries will be increased on a pro rata basis. You may revoke or change the beneficiary designation at any time by completing a new *IRA Change of Beneficiary Form* and providing it to the Custodian.

**Type:**     Primary       Contingent      Share Percentage: \_\_\_\_\_%      Relationship to IRA Owner:     spouse     nonspouse  
 Name: \_\_\_\_\_ Taxpayer ID Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_  
 Address: \_\_\_\_\_

**Type:**     Primary       Contingent      Share Percentage: \_\_\_\_\_%      Relationship to IRA Owner:     spouse     nonspouse  
 Name: \_\_\_\_\_ Taxpayer ID Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_  
 Address: \_\_\_\_\_

**Type:**     Primary       Contingent      Share Percentage: \_\_\_\_\_%      Relationship to IRA Owner:     spouse     nonspouse  
 Name: \_\_\_\_\_ Taxpayer ID Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_  
 Address: \_\_\_\_\_

**Type:**     Primary       Contingent      Share Percentage: \_\_\_\_\_%      Relationship to IRA Owner:     spouse     nonspouse  
 Name: \_\_\_\_\_ Taxpayer ID Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_  
 Address: \_\_\_\_\_

Addendum attached for additional beneficiaries. If you need additional space to name beneficiaries, attach a separate sheet that includes all of the information requested above. Sign and date the sheet.

To name a trust as your beneficiary, attach to this form either a copy of the trust agreement or a certification, in writing, acceptable to the IRA Custodian.

**PART V: SPOUSAL CONSENT**

Traditional IRA owners who reside in or whose IRA is located in a community or marital property state should review this section. This section may have important tax consequences to you and your spouse so please consult with a competent advisor prior to completing. If this is an Inherited IRA, seek competent legal/tax advice to see if spousal consent is required. If you are not currently married and you marry in the future, you must complete a new beneficiary designation that includes the spousal consent provisions.

**CURRENT MARITAL STATUS**

- I am not married** – I understand that if I become married in the future, I must complete a new beneficiary designation that includes the spousal consent provisions.
- I am married** – I understand that if I designate a primary beneficiary other than my spouse, my spouse must sign below.

**CONSENT OF SPOUSE**

By signing below, I acknowledge that I am the spouse of the Traditional IRA Owner and agree with and consent to my spouse's designation of a primary beneficiary other than, or in addition to, me. I have been advised to consult a competent advisor and I assume all responsibility regarding this consent. The Custodian has not provided me any legal or tax advice.

Signature of Spouse:

**X** \_\_\_\_\_ **Date:** \_\_\_\_\_

Witness:

**X** \_\_\_\_\_ **Date:** \_\_\_\_\_

**PART VI: ACCOUNT SERVICE OPTIONS FOR YOUR IRA (DO NOT COMPLETE THIS SECTION FOR INHERITED IRAS)**

**Automatic investment program** *(The completion of this section is optional)* This option provides an automatic investment into your IRA by transferring money directly from your bank account via ACH (Automated Clearing House) on a scheduled basis. The automatic investment program may require a minimum deposit. Other account restrictions may also apply. Please provide all of your bank account information AND attach a voided check or deposit slip. Contributions made to your IRA using the automatic investment option will be for the current tax year. The minimum required is \$500 for each investment.

I authorize the Conestoga Funds to initiate investments into my mutual fund account according to the following frequency:

- Annually  Semi-Annually  Quarterly  Twice Each Month  Monthly  Other (Check months below)

- January  February  March  April  May  June
- July  August  September  October  November  December

Fund \_\_\_\_\_ Amount \$ \_\_\_\_\_ Day of Month (15<sup>th</sup> or 30<sup>th</sup>) \_\_\_\_\_

Fund \_\_\_\_\_ Amount \$ \_\_\_\_\_ Day of Month (15<sup>th</sup> or 30<sup>th</sup>.) \_\_\_\_\_

**Bank Account Information** Provide information about your checking or savings account to establish a automatic investment program by ACH. Please select one of the following:

- Attach a voided check or deposit slip for your bank account. *Please use tape; do not staple.*
- Provide information about your bank account below.

**Enter your checking or savings account information:** Account Type:  Checking  Savings

Name: \_\_\_\_\_ Taxpayer ID Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_  
Name of Bank: \_\_\_\_\_ Bank's Phone Number: \_\_\_\_\_  
Bank Address: \_\_\_\_\_ ABA Routing Number: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
Name(s) on Bank Account: \_\_\_\_\_ Bank Account Number: \_\_\_\_\_

John and Jane Doe 123 Any Street Anytown, USA 12345	Date _____	1003
PAY TO THE ORDER OF _____	Tape your voided check or preprinted deposit slip here.	_____ \$
	Please do <u>not</u> use staples.	_____ DOLLARS
BANK NAME BANK ADDRESS		

**PART VII: DUPLICATE ACCOUNT STATEMENT**

- Yes, please send a duplicate statement to:

Name: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**PART VIII: ACKNOWLEDGEMENT** Note: *This application will not be processed unless signed below by the Traditional IRA Owner (or Inherited IRA Owner.)*

By signing this *Traditional/SEP IRA Application*, I certify that the information I have provided is true, correct, and complete, and the Custodian may rely on what I have provided. In addition, I have read and received copies of the *Traditional/SEP IRA Application, IRS Form 5305-A, Disclosure Statement* and *Financial Disclosure*, including the applicable fee schedule. I agree to be bound to their terms and conditions. I understand that I am responsible for the Traditional IRA transactions I conduct, and I will indemnify and hold the Custodian harmless from any consequences related to executing my directions. If I have indicated any amounts as "carryback" contributions, I understand the contributions will be credited for the prior tax year. I understand that if the deposit establishing the Traditional/SEP IRA contains rollover dollars, I elect to irrevocably designate this deposit as a rollover contribution. If I am an Inherited IRA Owner, I understand the distribution requirements and the contribution limitations applicable to Inherited IRA Owners. I have been advised to seek competent legal and tax advice and have not been provided any such advice from the Custodian.

Signature of Traditional IRA Owner (or Inherited IRA Owner):

X \_\_\_\_\_ Date: \_\_\_\_\_

Signature of IRA Custodian Representative:

X \_\_\_\_\_ Date: \_\_\_\_\_

**PART IX: FOR DEALER USE ONLY**

\_\_\_\_\_  
Financial Institution Name

\_\_\_\_\_  
Address

\_\_\_\_\_  
City

\_\_\_\_\_  
Dealer Number

\_\_\_\_\_  
Branch Number

**X**  
\_\_\_\_\_  
Representative's Signature

\_\_\_\_\_  
Representative's Full Name

\_\_\_\_\_  
Representative's Branch Office Telephone Number

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip Code

\_\_\_\_\_  
Representative Number

**X**  
\_\_\_\_\_  
Supervisor's Signature

**PART X: MAILING INSTRUCTIONS**

Please send completed application to:

**Regular Mail Delivery**

Conestoga Funds  
P.O. Box 46707  
Cincinnati, OH 45246-0707

**Overnight Delivery**

Conestoga Funds  
225 Pictoria Dr, Suite 450  
Cincinnati, OH 45246