

# Estate Account Application



**Homestead**  
Funds

Use this form to open an Estate account with Homestead Funds. Do not use this form for an inherited IRA. An Estate as beneficiary of an IRA should use the IRA Account Application. Include a copy of a court document or letters of testamentary showing the name(s) of the Executor(s) of the Estate when returning this application.

Return your completed application to Homestead Funds by mail to:

**Regular Mail**

Homestead Funds  
c/o of Ultimus Fund Solutions, LLC  
P.O. Box 46707  
Cincinnati, OH 45246

**Overnight Mail**

Homestead Funds  
c/o of Ultimus Fund Solutions, LLC  
225 Pictoria Drive  
Suite 450  
Cincinnati, OH 45246

Before completing this application, see the prospectus, which is available at [homesteadfunds.com](http://homesteadfunds.com). If you have any questions, call us at 800.258.3030.

## Important Notice — The USA Patriot Act

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.

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. This information will be verified to ensure the identity of all individuals opening a mutual fund account.

## 1. Ownership

The USA Patriot Act requires mutual funds to collect identification information, including birth date, for all account owners. We cannot process your application if this information is not provided. Homestead Funds does not accept accounts registered to foreign individuals or entities, including foreign correspondent accounts.

Be sure to sign your completed form (Section 10).

Name of Decedent

Date of Death (mm/dd/yyyy)

 /  / 

Estate Tax Identification Number

Executor's First Name

Middle Initial

Last Name

Social Security Number

Date of Birth (mm/dd/yyyy)

 /  / 

**Check one:**

☐

U.S. Citizen

☐

U.S. Resident

Email address

Daytime Telephone Number (in case we have questions)

 -  - 

You must provide a valid email address. All executors will use the email address listed on the application to create their online account log-in. No personal information will be sent to the email address.

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## 1. Ownership (continued)

Co-Executor's First Name  Middle Initial  Last Name

Social Security Number           Date of Birth (mm/dd/yyyy)  /  /

### Check one:

☐ U.S. Citizen ☐ U.S. Resident

Daytime Telephone Number (in case we have questions)

-  -

Co-Executor's First Name  Middle Initial  Last Name

Social Security Number           Date of Birth (mm/dd/yyyy)  /  /

### Check one:

☐ U.S. Citizen ☐ U.S. Resident

Daytime Telephone Number (in case we have questions)

-  -

If there are additional Executors, photocopy this page and provide all the information requested for each additional person. Each Executor must sign the application in **Section 10**.

## 2. Address

Executor's Residential Street Address

City  State  Zip Code

### ◆ If Co-Executor's residential street address is different than above

Co-Executor's Street Address

City  State  Zip Code

### If you want account correspondence sent to an address other than the Executor's residential street address

Mailing Address (Your mailing address may be a P.O. Box)

City  State  Zip Code

A P.O. Box will not be accepted as a street address. A rural route, APO or FPO address will be accepted.

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## 3. Online Access and Electronic Delivery

If you have existing Homestead Funds accounts, we default to linking this account to your online profile so you may view this account under your current log-in. If you do not want this option, you may opt out below. You are able to receive electronic notification of certain Homestead Funds documents instead of receiving them by mail.

### Check to Opt Out

☐ I DO NOT want to view this account online under my current Homestead Funds log-in.

### Check to Opt In

☐ I elect to receive notification of the following checked fund documents electronically.

☐ Trade Confirmations    ☐ Quarterly Account Statements    ☐ Prospectus & Shareholder Reports

## 4. Investment Amount

### Write in the amount of your initial investment.

Total Dollars (\$500 minimum)

\$

### Indicate method of investment. Check one:

☐ By check  
We accept checks with preprinted name and address made payable directly to Homestead Funds. We do not accept third party checks, credit card convenience checks, bank account starter checks, cash or cash equivalents (including money orders, traveler's checks, or bearer bonds).

☐ By ACH transfer  
Upon receipt of this application, we will initiate an electronic funds transfer from the account you indicate in **Section 9**.

☐ By wire transfer  
Call us at 800.258.3030 for transfer instructions.

☐ From a Homestead Funds pre-existing account  
This option is used when inheriting an account.

If you are investing by ACH there is a maximum daily investment amount of \$100,000 per account. There is no daily maximum if you are investing by check or wire.

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## 5. Fund Selections

Indicate how the amount in Section 4 should be allocated.

Daily Income Fund (168)	\$	<input type="text"/>	or	<input type="text"/>	%
Short-Term Government Securities Fund (170)	\$	<input type="text"/>	or	<input type="text"/>	%
Intermediate Bond Fund (171)	\$	<input type="text"/>	or	<input type="text"/>	%
Short-Term Bond Fund (172)	\$	<input type="text"/>	or	<input type="text"/>	%
Stock Index Fund (174)	\$	<input type="text"/>	or	<input type="text"/>	%
Value Fund (176)	\$	<input type="text"/>	or	<input type="text"/>	%
Small-Company Stock Fund (178)	\$	<input type="text"/>	or	<input type="text"/>	%
International Equity Fund (180)	\$	<input type="text"/>	or	<input type="text"/>	%
Growth Fund (182)	\$	<input type="text"/>	or	<input type="text"/>	%
Rural America Growth and Income Fund (414)	\$	<input type="text"/>	or	<input type="text"/>	%
<hr/>					
<b>Total</b> (Must match amount from Section 4)	\$	<input type="text"/>	or	100	%

☐ If you are inheriting from an existing Homestead Funds account and would like to keep the same fund selections, please check here.

## 6. Dividends and Capital Gains

All distributions will be automatically reinvested in your fund account unless you make a different election here.

Dividends and Short-Term Capital Gains:

- ☐ Pay by Check Sent to Address of Record
- ☐ Pay by Direct Deposit to Bank Account  
You must also complete Section 9.

Long-Term Capital Gains:

- ☐ Pay by Check Sent to Address of Record
- ☐ Pay by Direct Deposit to Bank Account  
You must also complete Section 9.

### Need Help?

Homestead Funds Client Service Representatives are available on business days from  
8:30 a.m. to 5:00 p.m. E.T.

Call **1.800.258.3030**

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## 7. Cost Basis Election

Homestead Funds will report cost basis information to both shareholders and the Internal Revenue Service (IRS) on mutual fund shares acquired and subsequently redeemed after January 1, 2012. In order to deliver this service to you, we ask that you select a cost basis accounting method for your new account. If you do not elect a method, our default method of Average Cost will be used.

**Please choose one of the following available methods:**

- ☐ **Average Cost** — the purchase price of all covered shares in the account are averaged
- ☐ **First In, First Out** — depletes shares beginning with the earliest acquisition date
- ☐ **Last In, First Out** — depletes shares beginning with the most recent acquisition date
- ☐ **High Cost** — depletes shares beginning with the most expensive shares
- ☐ **Low Cost** — depletes shares beginning with the least expensive shares
- ☐ **Specific Lot Identification** — depletes shares according to the lots chosen by the shareholder. FIFO will be used for shares withdrawn due to a systematic withdrawal plan and in cases where the lots you designate are insufficient or unavailable.

Please consult your tax advisor to determine which cost basis accounting method best suits your tax situation.

If we cannot determine your election method you will be defaulted to Average Cost.

## 8. Phone Services

We will act on your instructions to exchange or sell shares by phone unless you check the box to opt out of those services below. If you have bank instructions on file, phone purchases are automatically allowed for most account types.

**Neither Homestead Funds nor the Transfer Agent will be liable for properly acting upon telephone instructions believed to be genuine.**

- ☐ I DO NOT want to make exchanges and distributions by phone.

Please note that for phone purchases we must have bank instructions on file. Complete **Section 9**.

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## 9. Bank Information

By completing this section, you authorize Homestead Funds to deduct money from your bank account via ACH to purchase shares into your Homestead Funds account and to send redemption proceeds via wire or ACH to your bank account of record.

**Be sure to complete this section if you:**

- Elected to send your investment by ACH transfer (**Section 4**)
- Elected to have distributions deposited directly in your bank account (**Section 6**)
- Want the option of having redemption proceeds deposited directly in your bank account

**Account type. Check one:** ☐ Checking ☐ Savings

Your request cannot be processed without a voided check or deposit slip for the account you wish to designate as your bank account of record unless you opt for us to use your initial purchase check.



**Attach voided check here.**

☐ Check this box if you wish to use your initial purchase check enclosed with this application to establish banking instructions instead of including an additional voided check.

Checks must be preprinted with your name and address. At least one common name must match exactly between your Homestead Funds and bank account. We do not accept starter checks. If you do not have a preprinted check please include a letter from your bank, on their letterhead, confirming your bank account registration, account number and routing number.

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## 10. Certifications and Signatures

By certifying this application, I represent and warrant that:

1. I have the full right, power and authority to make the investment applied for and I am of legal age in my state of residence.
2. I have read the Homestead Funds prospectus and this application and agree to be bound by the terms. I also agree that any shares purchased now or later are and will be subject to the terms of the Homestead Funds' prospectus as revised from time to time. The Homestead Funds prospectus, IRA Custodial Agreement, and ESA Custodial Agreement are available at [homesteadfunds.com](http://homesteadfunds.com) or by calling **800.258.3030**.  
I acknowledge that under certain circumstances specified by state law, Homestead Funds may be required to transfer my account assets to my state as abandoned property (i.e. escheated). I may consult my state's website or call my state government's escheatment customer service number for more details.
3. I am a U.S. citizen or resident and I certify, under penalty of perjury, that:
  - a. The Estate tax Identification Number and my Social Security Number shown on this form are the correct Taxpayer Identification Numbers.
  - b. I am not subject to backup withholding because: I am exempt from backup withholding, OR I have not been notified that I am subject to backup withholding as a result of a failure to report all interest or dividend, OR The Internal Revenue Service has notified me that I am no longer subject to backup withholding (Strike out this item (b) if you have been notified that you are subject to backup withholding).
4. I acknowledge that adverse income tax consequences (including possible penalties) may apply for providing false or incorrect information and certify that the information provided is accurate and correct.
5. The information in this application pertaining to account ownership, investing, funding, options and this disclosure will apply to any new fund into which my shares may be exchanged.
6. If I request transfers to or from my bank account in this application or at any time, including by telephone, electronically or otherwise, you are authorized to make those requested transfers (and to make, if necessary, adjusting transfers if any amounts are transferred in error). I understand that I can end this authorization at any time by notifying you in writing or by telephone.
7. I understand that mutual fund shares are not deposits or obligations of, or guaranteed or endorsed by, any bank, and are not federally insured by the Federal Deposit Insurance Corporation, the Federal Reserve Board, or any other agency of the U.S. Government, and that an investment in mutual fund shares involves risks, including the possible loss of principal.

**Each Executor must sign below.**

☐ Check this box to confirm that you have included a copy of a court document or letters of testamentary showing the name(s) of the Executor(s) of the Estate.

Executor's Signature

Date (mm/dd/yyyy)

 /  / 

Co-Executor's Signature (if applicable)

Date (mm/dd/yyyy)

 /  / 

Co-Executor's Signature (if applicable)

Date (mm/dd/yyyy)

 /  / 

**Be sure to sign this section. We cannot act on your instructions without your signature.**