

1200 Landmark Center, Ste, 800  
Omaha, NE 68102-1916

Questions? Call Client Services at 866-774-0216.  
Please read the important information on the next page.

ACCOUNT NUMBER: \_\_\_\_\_

<b>GENERAL INFORMATION</b>	NAME OF PLAN
	NAME OF EMPLOYER
	ADDRESS
	CITY <span style="float: right;">STATE</span> <span style="float: right;">ZIP</span>
	NAME OF PARTICIPANT <span style="float: right;">DATE OF BIRTH</span>
	HOME ADDRESS
	CITY <span style="float: right;">STATE</span> <span style="float: right;">ZIP</span>
	SOCIAL SECURITY NUMBER <span style="float: right;">HOME PHONE</span>

**CURRENT MARITAL STATUS**

I Am Not Married      I understand that if I become married in the future, my spouse will be my Primary Beneficiary unless I complete a new Designation of Beneficiary for and my spouse consents to my designation.

I Am Married      I understand that my spouse will be my Primary Beneficiary. However, I understand I may designate a Primary Beneficiary other than or in addition to my spouse if my spouse consents to my designation.

**DESIGNATION OF BENEFICIARIES**

ADD BENEFICIARY(IES)      I designate the individual(s) or entity names below as my primary and/or contingent beneficiary (ies) of my qualified plan balance.

REPLACE BENEFICIARY(IES)      I designate the individual(s) or entity named below as my primary and/or contingent beneficiary (ies) of my qualified plan balance and hereby revoke all prior beneficiary (ies) designations, if any, made by me.

**If neither primary nor contingent is indicated, the individual or entity will be deemed to be a primary beneficiary.** If more than one primary beneficiary is designated and no distribution percentages are indicated, the beneficiaries will be deemed to own equal share percentages in my qualified plan balance. Multiple contingent beneficiaries with no share percentage indicated will also be deemed to share equally. If any primary or contingent beneficiary dies before me, his or her interest and the interest of his or her heirs shall terminate completely, and the percentage share of any remaining beneficiary (ies) shall be increased on a pro rata basis. If no primary beneficiary (ies) survives me, the contingent beneficiary (ies) shall acquire the designated share of my qualified plan balance.

Primary	NAME	SOCIAL SECURITY NUMBER
Contingent	ADDRESS	DATE OF BIRTH <span style="float: right;">SHARE %</span>
		RELATIONSHIP
Primary	NAME	SOCIAL SECURITY NUMBER
Contingent	ADDRESS	DATE OF BIRTH <span style="float: right;">SHARE %</span>
		RELATIONSHIP
Primary	NAME	SOCIAL SECURITY NUMBER
Contingent	ADDRESS	DATE OF BIRTH <span style="float: right;">SHARE %</span>
		RELATIONSHIP
Primary	NAME	SOCIAL SECURITY NUMBER
Contingent	ADDRESS	DATE OF BIRTH <span style="float: right;">SHARE %</span>
		RELATIONSHIP

**SPOUSAL CONSENT**

I am the spouse of the above-named participant. I acknowledge that I have received a fair and reasonable disclosure of my spouse's property and financial obligations. Due to the important tax consequences of giving up my interest in this qualified plan, I have been advised to see a tax professional.

If Non-Spouse Beneficiary(ies) are named as Primary Beneficiary(ies)

I hereby give the participant any interest I have in the funds or property deposited in this qualified plan and consent to the beneficiary designation(s) indicated above. I assume full responsibility for any adverse consequences that may result. No tax or legal advice was given to me by the Plan Administrator or Employer of this qualified plan.

**AUTHORIZED PARTY(S)**

PARTICIPANT'S SPOUSE SIGNATURE DATE

The following person(s) are authorized to sign on behalf of the employer or the plan administrator of the qualified retirement plan. If the Participant and the Plan Administrator or Employer is one and the same, please sign as both an authorized party in this section and as a Participant below.

NAME	TITLE
SIGNATURE	
NAME	TITLE
SIGNATURE	

**SIGNATURES**

PARTICIPANT SIGNATURE	DATE
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## **COR Clearing Custodial Services Disclosure**

COR Clearing is a regulated company approved by and subject to the rules of the Internal Revenue Service, the U.S. Department of Labor and other regulatory and governing entities as a custodian of assets.

The following statements clarify CORs obligations and duty to customers under appointment as custodian:

- As custodian of qualified retirement plans, CORs primary obligation is to track and report to the IRS the distributions only (via 1099-R) from the account in custody in order to maintain the tax-deferred status of the qualified plan. Alternatively, as custodian for IRA plans, CORs primary obligation is to track and report to the IRS the contributions (via 5498) and distributions (via 1099-R) from the account in custody in order to maintain the tax-deferred status of the IRA plan.
- As custodian, COR is not responsible for validating client or investment eligibility status of qualified or IRA plans and is not liable for tax, losses or penalties that may arise due to improper registrations, distributions, contributions, or other consequential investing by authorized or unauthorized parties in accounts held at COR.
- As custodian, COR is a passive record keeper and holder of assets that serves as an intermediary between the account owner/ investor and A) the seller of (Introducing Broker Dealer) or B) issuer of an investment. Under this arrangement, COR does not have a fiduciary duty to clients and is responsible only for holding the assets in the retirement account acting solely as the keeper of the deposits to and distributions from the account.
- As custodian, COR enters into service agreements for which COR retains the right to bill or pass through fees to clients for custodial and record-keeping services rendered. Affiliations made with Introducing Broker Dealers or investment advisors by way of such service agreements in no way constitutes an endorsement of their business, activities or stated credentials.
- As custodian, COR does not research or perform due diligence reviews or recommend investments to clients and has no obligation to evaluate the quality, suitability or tax efficiency of any investment made in an account or the investments made by promoters/ solicitors.
- As custodian, COR and its affiliates will not act in the capacity of an investment advisor, tax advisor or legal advisor. Likewise account performance metrics and consolidated statements will not be produced by COR.
- As custodian, COR will deliver account statements that may reflect an increase or decrease in the reported value of the investments in an account based on prevailing market price or issuer valuation, but the reflected worth of securities cannot always be verified for accuracy by COR.
- As custodian, COR will seek to protect client privacy and account information, process new account applications, maintain documents and records related to accounts and will review account activity and authorized parties in accordance with anti-money laundering and other government and regulatory provisions (OFAC, Patriot Act, BSA).
- As custodian, COR will execute account owner or authorized parties instructions to sell, withdraw, transfer or liquidate investments in IRAs or other qualified accounts while also maintaining accurate and compliant records of such activity including performing certain IRS tax reporting obligations and supplying necessary records to issuers/ sponsors of investments.