

- **This Change of Ownership Form is for shareholders who do not have a New York Life Registered Representative.**
- **Shareholders with a New York Life Registered Representative should use the *Transfer/Registration Change Profile*.**
- For IRA/SEP/Roth IRA change of ownership requests, please use the MainStay Funds IRA/SEP/Roth IRA Distribution Form.
- For 403(b)(7) change of ownership requests, please use the NYLIM 403(b)(7) Distribution Form.
- For shareholder name changes, please use the MainStay Funds Name Change Form.

## INSTRUCTIONS

If an account owner is deceased or incapacitated, please call Shareholder Services at 800-MAINSTAY (624-6782), option 2, for instructions.

### INDIVIDUAL OWNERSHIP

*If the owner is deceased or incapacitated, please call Shareholder Services for instructions.*

#### **To transfer an individual account to another registration:**

Current owner must complete sections 1, 2, and 5 and have his/her signature Medallion Signature Guaranteed. The signature in section 5 must be identical to the current registration. Do not use titles such as Mr., Mrs., Dr., etc. in section 2. The owner responsible for tax reporting listed in section 2, must complete section 4.

If transferring to a trust or a corporate account, please see additional requirements in ***Special Note—Trust or Special Note—Corporate*** on page 2.

### JOINT OWNERSHIP

*If one or more owners are deceased or incapacitated, please call Shareholder Services for instructions.*

#### **To transfer a joint account to another registration:**

Current owners must complete sections 1, 2, and 5 and have their signatures Medallion Signature Guaranteed. The signatures in section 5 must be identical to the current registration. Do not use titles such as Mr., Mrs., Dr., etc. in section 2. The first listed owner responsible for tax reporting in section 2, must complete section 4. All income/sales proceeds will be reported to the first owner's social security number. With the exception of residents of Louisiana, all joint account holders will be considered joint tenants with rights of survivorship unless otherwise specified.

If transferring to a trust or a corporate account, please see additional requirements in ***Special Note—Trust or Special Note—Corporate*** on page 2.

### UNIFORM GIFT/TRANSFER TO MINOR

*If the minor is deceased or if the custodian is incapacitated or deceased, please call Shareholder Services for instructions.*

#### **To transfer an UGMA/UTMA account to the minor who has reached the Age of Majority in the donor state:**

Custodian or former minor must complete sections 1, 2, and 5. The signature in section 5 must be identical to the current registration. Do not use titles such as Mr., Mrs., Dr., etc. in section 2. Former minor must complete section 4 only if his/her social security number is not on the current account. If the minor's date of birth is not referenced on the current account or the original application, a certified copy of the minor's birth certificate is required. To carry over options currently established on the account to the new registration, please indicate in section 3.

#### **Custodian has resigned:**

A successor custodian must be named. Only one custodian per minor is permitted. Only an adult member of the minor's family, a guardian of the minor or a trust company is eligible to become a successor custodian.

#### ***If a successor custodian has been named in a successor agreement for minors under age 14 (or under age 12 in Connecticut):***

Current custodian must complete sections 1 and 2. Both current and new custodians must complete section 5 and have their signatures Medallion Signature Guaranteed. A parent may assume custodianship by presenting a certified copy of the minor's birth certificate. If the new custodian is the guardian or conservator of the minor, a court certified copy of the guardianship or conservatorship document is also required. To carry over options currently established on the account to the new registration, please indicate in section 3.

#### ***If no successor has been named for minors under age 14 (or under age 12 in Connecticut):***

The new custodian must complete sections 1, 2, and 5 and have his/her signature Medallion Signature Guaranteed. The new custodian must present a court certified document of successor custodian designation. To carry over options currently established on the account to the new registration, please indicate in section 3.

### **Minors age 14 or over (or age 12 or over in Connecticut):**

Minors who have reached the minimum age may designate a relative or guardian as successor custodian. The new custodian must complete sections 1, 2, and 5. Minor also submits a notarized signature in section 5. The minor's certified birth certificate is also required. To carry over options currently established on the account to the new registration, please indicate in section 3.

### **TRUST**

*If one or more trustees are deceased or incapacitated, please call Shareholder Services for instructions.*

#### **To transfer a trust account to another registration:**

Trustee(s) should complete sections 1, 2, and 5 and have his/her signature Medallion Signature Guaranteed. The signature(s) in section 5 must be identical to the current registration. Do not use titles such as Mr., Mrs., Dr., etc. in section 2. The first listed owner responsible for tax reporting in section 2, must complete section 4. If transferring to a corporate account, please see additional requirements in **Special Note—Corporate** below.

#### **To transfer a trust account to another trust registration:**

The new trust must be established under a written document. Trustee(s) of the current trust account should complete sections 1, 2, and 5 and have his/her signature(s) Medallion Signature Guaranteed. The signature(s) in section 5 must be identical to the current registration. The names of the trustee(s) authorized to act on the account and the trust date must be provided in section 2. Do not use titles such as Mr., Mrs., Dr., etc. in section 2. The new trustee(s) must provide the new trust's Tax Identification Number (TIN) in section 4. Please see additional requirements in **Special Note—Trust** below.

**Special Note—Trust:** If you are transferring your account to a trust, please also attach a copy of the title, signature, and notary pages of the trust document and complete the Mainstay Funds Trustee Certification of Investment Powers Form.

### **CORPORATION**

*If one or more trustees or authorized officers are deceased, have resigned, or are incapacitated, please call Shareholder Services for instructions.*

#### **To transfer a corporate account to another registration:**

Trustee(s) or Authorized Officers(s) should complete sections 1, 2, and 5 and have his/her signature(s) Medallion Signature Guaranteed. The signature(s) in section 5 must be identical to the current registration. Do not use titles such as Mr., Mrs., Dr., etc. in section 2. The first listed owner responsible for tax reporting in section 2, must complete section 4. If transferring to a trust or another corporate account, please see additional requirements in **Special Note—Trust or Special Note—Corporate** above and below.

If a Trustee or Authorized Officer is not listed in the current account registration, please submit a Corporate Resolution certified within 60 days signed by an officer other than the authorized signature for the account. If the current registration is an unincorporated entity, in lieu of a certified Corporate Resolution, please submit a Medallion Signature Guaranteed MainStay Funds Certificate of Incumbency Form.<sup>1</sup>

**Special Note—Corporate:** If you are transferring your account to a corporate account, please also attach a copy of the title and signature page and the state authorization from the articles of incorporation or a copy of the corporation's government issued business license.

### **POWER OF ATTORNEY (POA)**

#### **To add an attorney-in-fact to act on your behalf:**

Complete the MainStay Funds Power of Attorney Registration Authorization and Indemnification Form to add your attorney-in-fact to your registration and to enable him/her to act on your account.<sup>1</sup>

### **TRANSFER ON DEATH (TOD) REGISTRATION**

#### **To add a Transfer on Death beneficiary:**

Complete the MainStay Funds Transfer on Death (TOD) Registration Form to list beneficiaries on your account.<sup>1</sup>

#### **If the Shareholder is Deceased and you are the Transfer on Death beneficiary:**

All Transfer on Death beneficiaries are listed as primary. If there is only one Transfer on Death beneficiary, he/she will receive 100% of the shares in the account. Please contact Shareholder Services at 800-MAINSTAY (624-6782), option 2, for instructions.

### **CHECKWRITING SERVICES**

#### **To add checkwriting:**

Complete the MainStay Funds Money Market Checkwriting Service Form to add checkwriting to your MainStay Money Market Fund account.<sup>1</sup>

### **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.

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. This information will be verified to ensure the identity of all individuals opening a mutual fund account. In all cases, protection of our customer's identity and confidentiality is our pledge to you.

<sup>1</sup> See your investment professional, visit our web site at [mainstayinvestments.com](http://mainstayinvestments.com), or contact Shareholder Services for this form, or for assistance completing it.

**1 CURRENT ACCOUNT INFORMATION (Required)**

Please provide your existing MainStay Funds Account Registration and Account Number exactly as it appears on your account statement.

▲ Name of Individual, Custodian, Corporation, or Trust (Exactly as it appears on your statement)

▲ Name of Joint Tenants, Minor, Corporate Officer(s), Trustee(s) (Exactly as it appears on your statement)

▲ Fund Name Class Account Number

▲ Fund Name Class Account Number

▲ Fund Name Class Account Number

**2 TRANSFER/REGISTRATION CHANGE**

Indicate type of new account:

- Individual
- UGMA/UTMA Donor State
- Joint Tenants with Rights of Survivorship (except in LA)
- Tenants by Entireties (married individuals only; except in LA)
- Community Property (for married individuals in Community Property states: AZ, CA, ID, LA, NV, NM, TX, WA or Marital Property state: WI)
- Tenants in Common (only type available in LA for married or unmarried individuals)
- Trust (See instructions and **Special Note—Trust** on page 2 for additional requirements.)
- Corporation (See instructions and **Special Note—Corporate** on page 2 for additional requirements.)
- Other \_\_\_\_\_

**New Account Registration (Individual, Corporation or Trust listed below is the "owner responsible for tax reporting")**

▲ Name of Individual, Custodian, Corporation, or Trust Date of Trust Agreement—MM/DD/YYYY Date of Birth—MM/DD/YYYY

▲ Name of Joint Tenant(s), Minor, Corporate Officer(s), Trustee(s) Date of Birth—MM/DD/YYYY

▲ Mailing Address (If your mailing address is a P.O. Box, please also provide your street address below.)

▲ City State Zip Code

▲ Street Address (Complete only if your mailing address is a P.O. Box.)

▲ City State Zip Code

**3 SPECIAL INSTRUCTIONS**

Please note, Account Options will not carry to the new account. If you have options on your current account(s) that you wish to carry over to your new account after your transfer/registration change, please indicate below:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**4 SUBSTITUTE W-9 CERTIFICATION (Required for Registration Change)**

To be completed by the NEW owner responsible for tax reporting whose Social Security Number or Tax Identification Number has been provided below.

Under penalties of perjury, I certify that:

1. On this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), **and**
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) 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 or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, **and**
3. I am a U.S. person (including a U.S. resident alien).

**Social Security Number**

(Required for Individuals, Joint Tenants, UGMA/UTMA)

\_\_\_\_-\_\_\_\_-\_\_\_\_\_

**Tax Identification Number**

(Required for Corporations, Trusts, and other Non-Natural Persons)

\_\_\_\_-\_\_\_\_-\_\_\_\_-\_\_\_\_-\_\_\_\_

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN.

\_\_\_\_\_  
 ▲ Signature Daytime Phone Number Date-MM/DD/YYYY

**5 SIGNATURE(S) (Required)**

By signing below, I/we authorize the changes indicated on this form:

\_\_\_\_\_  
 ▲ Signature of Shareholder Daytime Phone Number Date-MM/DD/YYYY

\_\_\_\_\_  
 ▲ Signature of Shareholder Daytime Phone Number Date-MM/DD/YYYY

**Medallion Signature Guarantee** required for all requests **except:**

- Transfer from UGMA/UTMA solely to former minor. See instructions on page 1.
- Transfer by minor over age 14. See instructions page 2. **Notarized signature required.**
- Transfer due to death from an account with a TOD registration.
- Transfer due to death from Joint Tenants with Rights of Survivorship or Tenants by Entireties, to the surviving joint tenant(s).

The signature(s) must be **Medallion Signature Guaranteed** by an eligible guarantor institution as defined under the Securities Exchange Act to include generally: a bank, broker dealer, municipal securities dealer or broker, credit union, national securities exchange, registered securities association, clearing agency, or savings association. **A notary public is not acceptable.** Eligible guarantor institutions provide Medallion Signature Guarantees that are covered by surety bonds in various amounts. It is your responsibility to ensure the Medallion Signature Guarantee that you acquire is sufficient to cover the total value of your transaction(s). If the surety bond amount is not sufficient to cover the requested transaction(s), the Medallion Signature Guarantee will be rejected.

**Place Medallion Signature Guarantee(s) in the space below.**

mainstayinvestments.com

<b>For Assistance:</b> Call your investment professional or call toll-free 800-MAINSTAY 800-624-6782 / option 2	<b>Mailing Address:</b> MainStay Investments P.O. Box 8401 Boston, MA 02266-8401	<b>Overnight Express Address:</b> MainStay Investments c/o BFDS 30 Dan Road Canton, MA 02021-2809	MainStay Funds are distributed by NYLIFE Distributors LLC 169 Lackawanna Avenue Parsippany, NJ 07054
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