

For assistance, please contact us at 1-800-243-1574 or visit our website at [Virtus.com](http://Virtus.com)

**Important Information**

- This form cannot be used for retirement accounts with BNY Mellon Investment Servicing Trust Company as custodian.
- Types of registrations that may be eligible to use this form are:
  - Individually registered accounts
  - Joint Accounts
  - Transfer on Death (TOD)
  - Trusts
  - UGMA/UTMA Accounts
- If a redemption is being requested, the shares must be transferred to a new account prior to the shares being redeemed. Example: If you are a beneficiary listed on a Transfer on Death account, the shares must first be transferred to a new account in your name and then can be redeemed under your Social Security number. Therefore, transfer instructions must be provided for all requests.

**Additional Documentation Requirements:**

- **Affidavit of Domicile**- If the shareholder is deceased an *original* Affidavit of Domicile must be submitted with all requests. The affiant's signature must be notarized or guaranteed by a Signature Guarantee.
- **Inheritance Tax Waiver** - If the shareholder's legal residence was in one of the following states, an *original* Inheritance Tax Waiver must accompany this form:
  - Indiana – Not required for surviving spouses.
  - Ohio – Required if the fund/account value exceeds \$25,000.
  - Oklahoma – If the shareholder died prior to January 1, 2010, a tax waiver is required.
  - Puerto Rico
  - Pennsylvania – If the transfer/redeem is from an account with a Transfer on Death (TOD) registration and the beneficiary is a non-spouse entitled to a direct inheritance.
- **Small Estates** - If the estate was not probated, we suggest that you contact your local probate court/office for the specific requirements regarding the administration of small estates for the state in which the shareholder resided at the time of his or her death.

*If the state requirements allow for an affidavit, although a photocopy of the affidavit is acceptable, it must bear the affiant's original signature and original notarization and be dated within 12 months of our receipt for account balances \$50,000 and under and within 60 days for account balances over \$50,000. The affidavit must be accompanied by a certified death certificate.*

*If the state requires documentation for the administration of small estates be issued by the court, although a photocopy is acceptable, it must bear the original court certification stamp or raised seal and be certified by the court or clerk of the court within 12 months of our receipt for account balances \$50,000 and under and within 60 days for account balances over \$50,000.*

**Refer to Section 3 for additional requirements for trust and estate registration types.**

**1. Existing Account Information**

Shareholder Name/Account Registration	U.S. Social Security Number	
Address	Shareholder Date of Birth	Date of Death (if applicable)
City, State, ZIP Code	Fund and Account Number(s)**	

\*\* If no fund number(s) is provided with the account number, all funds associated with the account number will be processed.

**2. Claimant Information**

I/We are requesting that the shares in the fund and account number(s) in Section 1, be:

- Transferred, or
- Transferred and Redeemed (indicate partial or full liquidation in Section 6)

I/We are requesting this transaction, acting in my/our capacity as:

- Surviving Joint Tenant(s)
- Executor(s)/Administrator(s) of the estate
- Successor Trustee(s)
- Transfer on Death beneficiary
- Other: \_\_\_\_\_

Claimant daytime telephone number in the event there are any questions concerning this request: \_\_\_\_\_



**5. Dealer (Financial Advisor) Information**

- Maintain existing information       Do not maintain broker/dealer information       Update broker/dealer information to:

Dealer Name \_\_\_\_\_ Dealer Number \_\_\_\_\_  
Branch Address \_\_\_\_\_ Branch Number \_\_\_\_\_  
Registered Representative Name \_\_\_\_\_ Phone Number \_\_\_\_\_ Representative Number \_\_\_\_\_

**If no election is made above or you elect not to maintain your current broker/dealer information, VP Distributors, LLC, Virtus's default broker/dealer will be assigned to the new account.**

**6. Redemption Instructions**

- Redemptions will be processed at the close of business on the day the request is received in good order.
- Requests received after 4:00PM Eastern Time will be processed at the next day's closing price.

**Step 1 – Redemption Amount**

**All shares will be liquidated if an option is not elected.**

- Full Liquidation.  
 Partial Liquidation of \$ \_\_\_\_\_ or \_\_\_\_\_ shares.

**Step 2 – Payment Instructions**

*If a redemption is requested in Section 2 and a payment method is not selected, the payment will be issued as a check payable to the new account information listed in Section 3. Additionally, if you request a Direct-to-Bank distribution and you have not included a VOID check or a pre-printed deposit slip from your savings account, we will issue a check payable to the new account information listed in Section 3.*

**A. Distribution by Mail** – Checks are mailed within two business days.

- Name and address on new account, **or**  
 Special Payee below

Special Payee Name \_\_\_\_\_

Special Payee Address \_\_\_\_\_

**B. Direct-to-Bank Distributions**

→ **One-Time Distribution** - May be sent to your bank electronically using two methods. ACH will be considered the default method if an election is not made. Choose one:

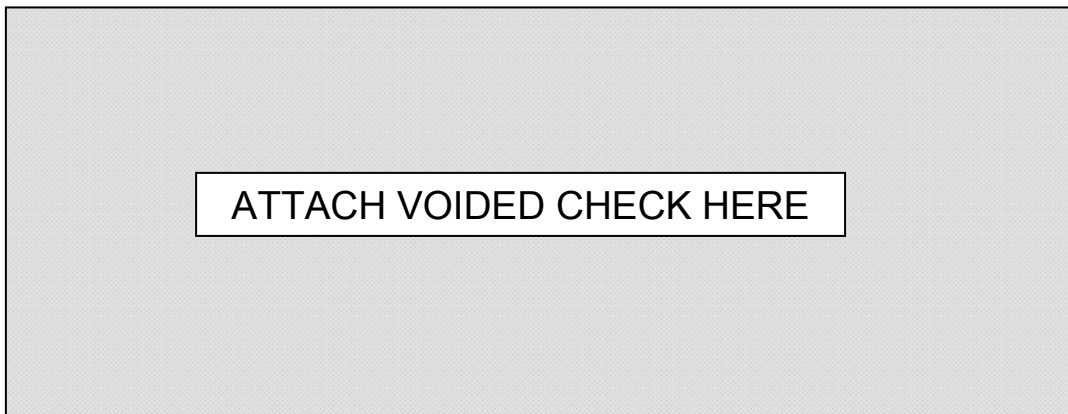
- Federal Fund Wire – Initiates the next business day. This option is *NOT* intended for trustee to trustee transfers. Please check with the receiving custodian for alternative payment instructions. Your bank may charge a fee for this service.  
 Automated Clearing House (ACH) – Initiates within one to three business days.

Please complete the following section and include a preprinted VOID check to have your withdrawals electronically transmitted to your checking account (no starter checks) or a preprinted deposit slip to have the withdrawals electronically transmitted to your savings account.

If you wish to have the banking information added to your account for future transactions, please check the following box:

Bank Name \_\_\_\_\_ Bank Routing Number \_\_\_\_\_ Account Type (Checking or Savings) \_\_\_\_\_

Bank Registration \_\_\_\_\_ Bank Account Number \_\_\_\_\_ Bank Telephone Number \_\_\_\_\_



**7. Substitute W-9 Form - Request for Taxpayer Identification Number and Certification (TIN)**

**This section must be signed by all new account owner(s), trustee(s), custodian or executor(s)/administrator(s). My signature below indicates that I have read the Fund prospectus(es) and agree to the terms stated. In addition, by signing below, I agree to receive the Fund Privacy Notice within a reasonable time after the shares are transferred to my name or if I purchase Fund shares.**

If I am a U.S. citizen, a U.S. resident alien, or a representative of a U.S. entity, I certify under penalties of perjury that:

- 1. The taxpayer identification number I have given on this form as mine is correct (or I am waiting for a number to be issued to me);
- 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  
 Important: Cross out item 2 if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest or dividends on your tax return.
- 3. I am a U.S. citizen or other U.S. person (as defined by the IRS in its Form W-9 instructions).

If I am a nonresident alien, I am required to complete the appropriate Form W-8 to certify my foreign status. I understand that I am not under penalties of perjury certifying the above information.

The IRS does not require your consent to any provision of this document other than the certification required to avoid backup withholding.

Print Name	Signature	Date
Print Name	Signature	Date

**8. Authorizing Signature(s)**

**All shareholders or authorized signers of the "From" account must sign this form. The form must be signed in capacity if the signer is not listed in the registration of the account (example: executor/personal representative/administrator of an estate, successor trustee, attorney-in-fact, etc.). The signatures and capacity must be Medallion Guaranteed.**

I/We authorize VP Distributors, LLC to make changes to the account registration or transfer the shares to a new account, as outlined in Section 2 on the previous page. I/We acknowledge that by signing below, I/we may be releasing any current ownership privileges and am/are authorized to request such changes. I/We agree to hold Virtus Mutual Funds, its agents and assigns harmless from acting upon the instructions set forth on this form.

**NOTE:** If a redemption is being requested, the authorized individual listed in Section 3, Step 2 must also sign in this section. The signature(s) and capacity must be Medallion Guaranteed, with the exception of the following circumstance:

The shares in a UGMA/UTMA account are to be liquidated to the former minor at the address currently on file. While we require the custodian's signature to be Medallion Guaranteed to process the transfer to the former minor, we do not require the former minor's signature to be Medallion Guaranteed for the purpose of the redemption.

Print Name	Signature/Capacity	Date
Print Name	Signature/Capacity	Date
Print Name	Signature/Capacity	Date

**9. Medallion Guarantee**

Place Medallion Guarantee Stamp Here

**All signature(s) and capacity in Section 8 must be Medallion Guaranteed.**

A Medallion Guarantee Stamp may be obtained from an eligible guarantor. Eligible guarantors include Commercial Banks, Trust Companies, Savings Associations and Credit Unions, as defined by the Federal Deposit Insurance Act and registered Broker/Dealers.

**Notarization from a Notary Public is not acceptable.**

