

## Change of Ownership Form / Account Re-Registration Form

Use this form to re-register all or a portion of the ownership of a non-retirement account. The change of ownership is an “in-kind” transfer of shares to the new account and is not a sale of securities or a taxable event. This form may be used for a transfer of shares due to divorce or separation, to transfer ownership from an individual or joint account to a trust account, to designate a new custodian for a minor’s account, or to transfer shares due to death. You may wish to consult with a tax advisor for inheritance questions.

### Notes

- **A new Mutual Fund Account Application may be required to be completed and submitted with this form.**
- **Pax World requires a Medallion Signature Guarantee (MSG) Stamp when using this form, unless otherwise noted.**

This form is not to be used to transfer or update the registration of Individual Retirement Accounts (IRAs), 403(b) retirement accounts, Coverdell Education Savings Accounts (ESAs), or the Minor of UTMA/UGMA custodial accounts and IRA accounts.

### 1. ACCOUNT INFORMATION (AS NAME(S) APPEAR ON THE ACCOUNT STATEMENT)

Account Number

|  |  |                   |                |                |                            |
|--|--|-------------------|----------------|----------------|----------------------------|
| Account Owner's First Name (or Trustee, Custodian, etc.) |  |                   | Middle Initial | Last Name      | Social Security/Tax ID No. |
| Joint Owner's First Name (or Trustee, Custodian, etc.)   |  |                   | Middle Initial | Last Name      | Social Security/Tax ID No. |
| Mailing Address  |  |                   |                | City           | State                      |
|  |  |                   |                |                | Zip Code                   |
| Day Telephone  |  | Evening Telephone |                | Cell Telephone |                            |
| Email Address  |  |                   |                |                |                            |

Check here if contact information above is new. The new information will replace the information currently on file.

### 2. REASON FOR TRANSFER - COMPLETE A, B, OR C.

A Medallion Signature Guarantee (MSG) Stamp will be required in Section 5, unless otherwise noted.

A. Re-registration of the account by the current owner(s) to a new account type:

Individual to Joint Account

Individual or Joint Account to Trust Account - If the owner(s) and trustee(s) are one and the same, an MSG Stamp is not required.

Joint to Individual Account

Individual or Joint to Corporation/Other Entity. Attach **Certification Regarding Beneficial Owners of Legal Entity Customers** with the new **Mutual Fund Account Application**.

Divorce - Additional documentation may be requested.

Reference Number (if additional documentation has already been provided): # \_\_\_\_\_

Joint to separate Individual Account

Individual to Individual

B. Inheritance/Death of Account Owner – If you have not already done so, please contact our Investor Service Center to confirm if any additional documentation will be required. If the transferred shares are to be redeemed in full, please complete the **Non-Retirement Redemption Form** instead.

Reference Number (if additional documentation has already been provided): # \_\_\_\_\_

Date of Death (required): \_\_\_\_\_ (mm/dd/yyyy)

I am a Transfer on Death (TOD) Beneficiary entitled to \_\_\_\_\_ % of the account.

I am a surviving owner of a Joint Account

Alternate Valuation: \$ \_\_\_\_\_

There is a special rule under the estate tax that allows the executor (the person in charge of the estate) to elect a different valuation date in certain cases. If the estate qualifies for this election, and the executor makes the election, the valuation date is six months after the date of death. The principal reason for making this election is to reduce the amount of estate tax that must be paid. Be aware the election also has an effect on income tax, because it means you will now use the later date to determine the cost basis.

Alternate Valuation Date: \_\_\_\_\_ (mm/dd/yyyy)

Alternate Value (optional): \$ \_\_\_\_\_

**3. AMOUNT TO BE TRANSFERRED**

Full Account

Partial Account – Transfer across all funds proportionally

Percent: \_\_\_\_\_ %

Partial Account – List Fund(s) and amount(s) below

| Fund  | Amount   |    | # of Shares |    | Percent |
|-------|----------|----|-------------|----|---------|
| _____ | \$ _____ | or | _____       | or | _____ % |
| _____ | \$ _____ | or | _____       | or | _____ % |
| _____ | \$ _____ | or | _____       | or | _____ % |

**4. RECEIVING ACCOUNT INFORMATION**

Please indicate the receiving account information to which the shares should be transferred.

Account Owner’s Name (or Trustee, Custodian, etc.)

\_\_\_\_\_

Joint Account Owner’s Name (or Trustee, Custodian, etc.)

\_\_\_\_\_

**Existing Account** – I (We) have an account with Pax World, registered as indicated above.

Deposit the shares into the account: # \_\_\_\_\_

**New Account** – A new account is being opened with Pax World Funds. Included with this form is a new **Mutual Fund Account Application**.

**5. AUTHORIZATION AND MEDALLION SIGNATURE GUARANTEE**

The account owner(s) listed in Section 1 must authorize the change of ownership by signing below. If the account is a trust or custodial account, or if you are otherwise signing on behalf of the registered account owner, please sign in your capacity.

All registered owners of the original account must have their signature(s) guaranteed by an eligible guarantor institution: a domestic bank or trust company, securities broker/dealer, clearing agency or savings association that participates in a medallion program recognized by the Securities Transfer Agents Association. The three recognized medallion programs are the Securities Transfer Agents Medallion Program (known as STAMP), Stock Exchanges Medallion Program (SEMP), and the Medallion Signature Program (MSP). A notarization from a notary public is NOT an acceptable substitute for a signature guarantee.

*I certify that I am authorized to make these elections and that all information provided is true and accurate. I further certify that no tax or legal advice has been given to me by the Fund, or any agent of either of them, and that all decisions regarding the elections made on this form are my own. The Fund is hereby authorized and directed to distribute funds from my account in the manner requested. The Fund may conclusively rely on this certification and authorization without further investigation or inquiry. I expressly assume responsibility for any adverse consequences that may arise from the election(s) and agree that the Fund and their agents shall in no way be responsible, and shall be indemnified and held harmless, for any tax, legal or other consequences of the election(s) made on this form.*

Important: If you are acting on behalf of the account owner, please indicate the capacity in which you are acting by checking the appropriate box below. If the correct box is not listed, please check "Other" and specify your capacity.

Administrator

Custodian

Surviving Joint Owner

Agent under POA

Executor

Trustee

Conservator/Guardian

Other, please specify:

\_\_\_\_\_

Signature of Account Owner

Date (dd/mm/yyyy)

\_\_\_\_\_

Signature of Account Owner

Date (dd/mm/yyyy)

\_\_\_\_\_

Medallion Signature Guarantee

Medallion Signature Guarantee

**Please Include a Completed Mutual Fund Account Application or Non-Retirement Redemption Form.**