

# Deferred Compensation Participant Application

(for Employer Electing Homestead Advisers Consulting Services)



Use this application to open a Homestead Funds deferred compensation account for your organization's deferred compensation plan participant.

It is the cooperative/employer's responsibility as plan administrator to verify plan and participant eligibility.

Return your completed form by mail to:

<b>Regular Mail</b>	<b>Overnight Mail</b>
Homestead Funds	Homestead Funds
c/o of Ultimus Fund Solutions, LLC	c/o of Ultimus Fund Solutions, LLC
P.O. Box 46707	225 Pictoria Drive
Cincinnati, OH 45246	Suite 450
	Cincinnati, OH 45246

Before completing this application, see the prospectus, which is available at [homesteadadvisers.com](http://homesteadadvisers.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. Plan Ownership and Type

This section needs to be completed with the Cooperative/Employer's information only.

Cooperative/Employer's Name	Tax Identification Number
<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Be sure to sign the completed form (Section 7).

- Plan Type Check one:**
- ☐ Executive Compensation 457(b) Plan for Employees
  - ☐ Executive Compensation 457(b) Plan for Directors
  - ☐ Top Hat Plan for Employees of Taxable Employers
  - ☐ Top Hat Plan for Directors of Taxable Employers
  - ☐ Performance Incentive 457(f) Plan
  - ☐ Global Executive Compensation Plan for Employees
  - ☐ Global Executive Compensation Plan for Directors
  - ☐ Governmental Deferred Compensation 457(b) Plan
  - ☐ Executive Benefit Restoration Plan for Tax-Exempt Employers
  - ☐ Executive Benefit Restoration Plan for Taxable Employers

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## 2. Telephone Exchange Options

### Exchange Options.

#### Check One:

- ☐ This plan **does** allow plan participants and Authorized Cooperative/Employer Representatives to make fund exchanges by telephone.
- ☐ This plan **does not** allow plan participants and Authorized Cooperative/Employer Representatives to make fund exchanges by telephone.

If no option is elected, the account default is to **not** allow fund exchanges by phone.

Performance Incentive 457(f) and Executive Benefit Restoration Plans do not allow telephone exchange options.

## 3. Cooperative/Employer's Address

Provide the name of the plan representative to whose attention plan statements and tax forms (if applicable) should be mailed and provide your organization's residential street address. The plan representative may be a different person than the Authorized Cooperative/Employer Representative signing the application in **Section 7**.

Plan Representative's First Name  Middle Initial  Last Name

Daytime Telephone Number (in case we have questions)

-  -

Cooperative/Employer's Residential Street Address

City  State  Zip Code

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

### ◆ If the cooperative/employer has a different mailing address

**Complete below if you want account correspondence sent to an address other than the cooperative/employer's residential street address.**

Cooperative/Employer's Mailing Address (Your mailing address may be a P.O. Box)

City  State  Zip Code

## 4. Cooperative/Employer's Taxability and Cost Basis Election

Homestead Funds only produces tax forms for deferred compensation plan accounts of taxable cooperatives. The default is to list your organization as non-taxable and **not** to produce tax forms for the deferred compensation plan accounts.

If your organization is taxable and should have tax forms produced, complete the Deferred Compensation Account Maintenance Form available at **homesteadadvisers.com** to update the organization's tax status and indicate the cost basis method elected for distributions. **It is the responsibility of the cooperative/employer to notify Homestead Funds of the cooperative/employer's taxability and to provide notification of any changes to the cooperative/employer's tax status in the future.**

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## 5. Plan Participant Information

Tell us the plan participant's name and identifying information.

Plan Participant's First Name  Middle Initial  Last Name

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

Plan Participant Email Address

The email address listed for the plan participant is used to establish their online log-in credentials and should be the one (personal or work) that they wish to use when logging in to their account.

### ◆ Duplicate Mailing Address

**If you want account statements sent to the plan participant in addition to the cooperative/employer's address in Section 3, provide the plan participant's address below.**

Plan Participant's Mailing Address

City  State  Zip Code

## 6. Fund Selections

**Indicate how this account is being funded.**

☐ A check is enclosed with this enrollment form for \$

**Indicate how the amount above 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"/> %

**Total** \$  or 100%

☐ No funding is included. The account will be funded within 3 months by check, ACH, or wire.

If you are including an initial salary deferral from the cooperative/employer's account, please make the check payable to Homestead Funds.

Future salary deferrals may be submitted by check, ACH or Wire. Please review the Employer Instructions to Submit Funds, which is available at [homesteadadvisers.com](http://homesteadadvisers.com) for instructions or call us at 800.258.3030.

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## 7. Certifications and Signatures

By signing this form, I certify that:

- I have received, read and agree to the terms of the prospectus for the funds in which the cooperative/ employer is investing. The Homestead Funds prospectus is available at **homesteadadvisers.com** or by calling **800.258.3030**.
- I have the authority and legal capacity to purchase mutual fund shares on behalf of my cooperative/ employer and am of legal age in my state and believe such investment is suitable for my organization.
- The cooperative/employer has received, read and completed a deferred compensation program Plan Document, and a deferred compensation plan Election Form, which set forth the terms and conditions of the cooperative/employer's participation in the deferred compensation program.
- I understand that it is the cooperative/employer's responsibility to determine that all requests are in compliance with the plan's provisions.
- I understand that if Homestead Funds is directed to close this account after it has been established, any shares will be redeemed at the then current price and the proceeds will be returned to the cooperative/employer. This may result in a gain or loss from the original investment.
- The cooperative/employer understands that all shares will be purchased at the net asset value next determined after receipt by Ultimus Fund Solutions of deposits in good order, as described in the prospectus.
- The cooperative/employer authorizes Homestead Funds, Ultimus Fund Solutions, their agents and affiliates to act on any instructions believed to be genuine for any service authorized by the cooperative/employer on this form and agrees that they will not be liable for any resulting loss or expense to the cooperative/employer resulting from such reliance.
- I am a U.S. citizen or resident, or a representative of a U.S. entity, I certify, under penalty of perjury, that:
  - (1) The Social Security or Employer Identification Number shown on this form is my correct Taxpayer Identification Number.
  - (2) 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 (2) if you have been notified that you are subject to backup withholding)
- The cooperative/employer authorizes Homestead Funds to provide account information to NRECA.
- I understand that I cannot authorize my own enrollment.
- The tax identification number shown in Section 1 of this form is correct.

Be sure to sign this section. We cannot act on your instruction without your signature. The form must be signed by one of the Plan's Authorized Cooperative/ Employer Representatives on file with Homestead Funds.

Signature of Authorized Employer Representative

Title

Print Name

Date (mm/dd/yyyy)

 /  /