



**BNY MELLON**  
INVESTMENT MANAGEMENT

## The BNY Mellon Family of Funds

### FINANCIAL INTERMEDIARY ACCOUNT APPLICATION

- **This application is for use by a financial intermediary that has a mutual fund selling/servicing agreement with BNY Mellon Securities Corporation ("BNYMSC") to establish a fully disclosed customer account or an omnibus account in the name of the intermediary or an account in the name of the intermediary for the benefit of its client.**
- Please complete all fields in blue or black ink. If you are completing this application electronically, all items except the signature may be filled in electronically. Signatures must be hand-written and the signed application should be sent to the address found on page 3.
- For assistance in completing this form, please call us toll free at **1-800-242-8671** option 1 or by e-mail at [institutionalservicing@bnymellon.com](mailto:institutionalservicing@bnymellon.com).

#### Customer Identification Program Notice Important Information About Procedures for Opening a New Account

##### USA PATRIOT Act, Bank Secrecy Act, and Anti-Money Laundering

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 individual or entity that opens an account. What this means for you: When you open an account, we will ask for information that will allow us to identify you. Until you provide the information or documents requested, we may not be able to open an account or effect any additional transactions for you.

**Escheatment Notice:** Your property may be transferred to the appropriate state if no activity occurs in your Fund accounts within the time period specified by state law.

### 1. FINANCIAL INTERMEDIARY INFORMATION

Name \_\_\_\_\_ Dealer Number/Branch Number \_\_\_\_\_

Street Address (no P.O. Boxes) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

1. Contact Name \_\_\_\_\_

Phone \_\_\_\_\_ E-mail \_\_\_\_\_

2. Contact Name \_\_\_\_\_

Phone \_\_\_\_\_ E-mail \_\_\_\_\_

### 2. ACCOUNT INFORMATION

Account Registration \_\_\_\_\_

Social Security/Tax Identification Number \_\_\_\_\_

Mailing Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

### 3. DUPLICATE STATEMENTS

If you would like duplicate statements, please provide address here:

Name \_\_\_\_\_

Mailing Address \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

Zip Code \_\_\_\_\_

### 4. FUND SELECTION

1. Fund Name: \_\_\_\_\_

Share Class (if applicable): \_\_\_\_\_

One of the following: CUSIP, NASDAQ Symbol or Fund Code \_\_\_\_\_

2. Fund Name: \_\_\_\_\_

Share Class (if applicable): \_\_\_\_\_

One of the following: CUSIP, NASDAQ Symbol or Fund Code \_\_\_\_\_

### 5. COST BASIS METHOD ELECTION (not applicable to money market fund accounts)

Please choose one of the cost basis reporting methods listed below for your account(s). If no method is selected, the Fund(s) will report cost basis using **Average Cost**. Specific Lot Identification is also a cost basis method option and is offered at the time of your redemption or exchange transaction.

☐ First In, First Out (FIFO)

☐ High Cost, First Out (HIFO)

☐ Average Cost

☐ Last In, First Out (LIFO)

☐ Low Cost, First Out (LOFO)

### 6. WIRE INSTRUCTIONS

Wire redemption proceeds (and, if no other wire instructions are provided in Section 7.B. below, dividend and capital gains distributions) to:

Name of Commercial Bank \_\_\_\_\_

ABA# \_\_\_\_\_

Individual and/or Department Name \_\_\_\_\_

Account or Nominee Name \_\_\_\_\_

Account # \_\_\_\_\_

Address of Bank \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

Zip Code \_\_\_\_\_

## 7. DISTRIBUTION OPTIONS

A. Check one box:

- ☐ Reinvest all dividends and capital gains. ☐ Pay all dividends and capital gains.  
☐ Pay all dividends and reinvest capital gains. ☐ Reinvest all dividends and pay capital gains.

If no box is checked, all dividends and capital gains will be reinvested.

B. If you would like dividends and/or capital gains wired to an account other than that set forth in Section 6 above, please provide wire instructions here:

Name of Commercial Bank ABA#

Individual and/or Department Name

Account or Nominee Name Account #

Address of Bank City State Zip Code

## 8. SIGNATURE

The undersigned Financial Intermediary acknowledges and agrees that the account applied for pursuant to this application is covered by the mutual fund selling/servicing agreement between the Financial Intermediary and BNYMSC.

**The Financial Intermediary acknowledges that mutual fund shares are not FDIC-insured. They are not bank deposits, bank obligations or bank-guaranteed. They pose investment risks, including the possible loss of principal.**

**Taxpayer Identification Number Certification:** Under the penalties of perjury, I (we) certify that [1] the Social Security Number(s) or Taxpayer Identification Number(s) shown in Section 1 of this application is (are) my (our) correct Taxpayer Identification Number(s), [2] I (we) am (are) not subject to backup withholding either because: (a) I (we) am (are) exempt from backup withholding, or (b) I (we) have not been notified that I (we) am (are) subject to backup withholding as a result of a failure to report all dividends, or the Internal Revenue Service ("IRS") has notified me (us) that I (we) am (are) no longer subject to backup withholding, [3] I (we) am (are) a U.S. person (including a U.S. resident alien) and [4] the Foreign Account Tax Compliance Act ("FATCA") code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is (are) correct. If you are exempt from FATCA reporting (if you are unsure, consult your tax advisor or the IRS), enter your exemption from FATCA reporting code (if any) here: \_\_\_\_\_.

NOTE: Strike out item [2] if you have been notified that you are subject to backup withholding by the IRS and you have not received a notice from the IRS advising you that backup withholding has been terminated.

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

PLEASE SIGN HERE:

By:

Signature

Date

Name

Title

Financial Intermediary Name

**For First Class Mail, please mail this form and all enclosures to:**

BNY Mellon Institutional Department  
P.O. Box 534442  
Pittsburgh, PA 15253-4442

**If e-mailing this form, please send to:**

institutionalservicing@bnymellon.com

**For Registered, Certified or Overnight Mail please mail to:**

BNY Mellon Institutional Department  
Attention: 534442  
500 Ross Street, 154-0520  
Pittsburgh, PA 15262

## FACTS

## WHAT DOES BNY MELLON INVESTMENT MANAGEMENT DO WITH YOUR PERSONAL INFORMATION?

<b>Why?</b>	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
<b>What?</b>	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> <li>■ Social Security Number</li> <li>■ Assets and income</li> <li>■ Account balances and transaction history</li> <li>■ Payment history</li> </ul>
<b>How?</b>	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons BNY Mellon Investment Management chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does BNY Mellon Investment Management share?	Can you limit this sharing?
<b>For our everyday business purposes—</b> such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes—</b> to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	No	We don't share
<b>For our affiliates' everyday business purposes—</b> information about your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes—</b> information about your creditworthiness	No	We don't share
<b>For our affiliates to market to you</b>	Yes	Yes
<b>For nonaffiliates to market to you</b>	No	We don't share

<b>To limit our sharing</b>	<p><b>Call 1-866-206-5660. Our menu will prompt you through the process.</b></p> <p>When you call, you will need to provide:</p> <ul style="list-style-type: none"> <li>■ The last 4 digits of your Social Security number</li> <li>■ Your zip code</li> <li>■ The first 5 letters of your last name (Provide all letters if your last name is less than 5 letters.)</li> </ul> <p><b>Please note: If you have previously called or submitted a written request instructing us to limit our sharing of personal information with our affiliates to market to you, your request will apply until you tell us to change your request or for 5 years from when you made the request, whichever is sooner. After that period expires but before any of our affiliates market to you, you will receive a renewal notice that will allow you to continue to limit marketing offers from our affiliates for at least another 5 years.</b></p> <p>If you invest in any of the funds providing this notice through a non-affiliated third party, such as a bank, broker-dealer or financial adviser, you will automatically be excluded from personal information sharing with affiliates to market to you. There is no need for you to notify us.</p> <p>If you are a new customer, we may begin sharing your information 30 days from the date we deliver this notice to you. When you are no longer our customer, we may continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.</p>
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<b>Questions?</b>	<p>Call <b>1-800-847-3560</b> or visit our website via the following link:  <a href="https://im.bnymellon.com/us/en/individual/policies/online-privacy-policy.html">https://im.bnymellon.com/us/en/individual/policies/online-privacy-policy.html</a></p>
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**Who we are**

Who is providing this notice?	This notice is provided by the BNY Mellon Family of Funds (including Dreyfus money market funds), BNY Mellon Funds Trust, BNY Mellon Investment Adviser, Inc., BNY Mellon Securities Corporation, BNY Mellon Transfer, Inc., BNY Mellon Insurance Agency, Inc. and The Bank of New York Mellon as Custodian for retirement plan accounts sponsored by BNY Mellon Investment Adviser, Inc. Any BNY Mellon Investment Management entities or businesses not listed here may provide their own notice.
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**What we do**

How does BNY Mellon Investment Management protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
How does BNY Mellon Investment Management collect my personal information?	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>■ open an account or deposit money</li> <li>■ give us your income information</li> <li>■ tell us about your investment or retirement portfolio</li> <li>■ direct us to buy securities</li> </ul> <p>We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p>
Why can't I limit all sharing?	<p>Federal law gives you the right to limit some but not all sharing related to:</p> <ul style="list-style-type: none"> <li>■ affiliates' everyday business purposes—information about your creditworthiness</li> <li>■ affiliates from using your information to market to you</li> <li>■ nonaffiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.</p>
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account.

**Definitions**

Affiliates	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>■ Our affiliates include banks and companies whose names include "The Bank of New York," "BNY," "Mellon," "Insight," or "Newton," and other financial companies such as Pershing LLC, and Walter Scott &amp; Partners Limited.</li> </ul> <p>Your opt-out will also apply to banks or other companies that may become our affiliates in the future.</p>
Nonaffiliates	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>■ BNY Mellon Investment Management does not share information with nonaffiliates so they can market to you.</li> </ul>
Joint marketing	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>■ BNY Mellon Investment Management doesn't jointly market.</li> </ul>

**Other important information**

**STATE LAWS:** We follow state law where state law provides you with additional privacy protections.

**FOR RESIDENTS OF VERMONT** If our account records show that you live in Vermont, we will not disclose nonpublic personal information about you to our affiliates for the purpose of enabling them to market their products and services to you. There is no need for you to call to opt out.

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