

➤ **BNY** | INVESTMENTS **Dealer Change/LOI-ROA Form**

Complete this form if you wish to add, change, or remove the Dealer/Service Agent authorized to act on your behalf in connection with your mutual fund account(s). You can also use this form to apply for a reduced or eliminated sales charge using Rights of Accumulation (ROA) or Letter of Intent (LOI).

1. Name and Address of Shareholder(s)

Please complete this section exactly as shown on your account(s) that is/are registered.

Name of Owner or Custodian

Name of Joint Owner (if any), Corporate Officer, Partner, Trustee, etc.

Street Address

City

State

Zip Code

2. Accounts

Please list all mutual fund accounts to be covered by this form or write "new" if opening a new account.

Account Number

Account Number

Account Number

Account Number

- Complete sections 3 & 4 when removing an existing Dealer/Service Agent and adding a new Dealer/Service Agent.
- Complete section 3 when removing an existing Dealer/Service Agent and not designating a new Dealer/Service Agent.
- Complete section 4 when adding a Dealer/Service Agent to your account.

3. Former Dealer Information

☐ Check if removing a Dealer/Service Agent (a notary is not required)

Former Dealer Name, Dealer #, or Representative Name

4. New Dealer Information

☐ Check if adding a Dealer/Service Agent.

Please provide the name and related information for your new Dealer/Service Agent.

I/we hereby represent and warrant that the firm named below is authorized to purchase and redeem shares of the fund(s) on my/our behalf.

Dealer Name

Dealer #

Phone Number

Branch Address

Branch #

City

State

County

Zip Code

Name of Representative (Salesperson) and Number, if any

5. Reduced Sales Charge

- ☐ Check if establishing a Letter of Intent.

Please note the following:

- Available on Class A shares (front-end sales charge) only.
- MINIMUM INITIAL PURCHASE: \$5,000
- You may receive a reduced sales charge by completing this Letter of Intent (LOI). An LOI is a non-binding agreement in which you state your intentions to purchase a set dollar amount of shares over a 13-month period in order to receive a reduced sales charge on all purchases of the fund during the 13-month period.
- Purchases made prior to the effective date of the LOI will be applied toward the satisfaction of the LOI to determine the level of sales charge that will be assessed under the terms of the LOI, but will not result in a reduction in the amount of any previously paid sales charge.
- To determine if this privilege is available, please refer to your Fund's Prospectus and Statement of Additional Information.

Terms of Escrow

1. I understand that 5% of the dollar amount indicated below will be held from my initial purchase in escrow by the Transfer Agent in shares. All dividends and any capital gain distributions on the escrowed shares will be credited to me. Escrowed shares will not be extended to the exchange privilege (as described in the Fund's prospectus).
2. If I complete the LOI Purchase Commitment within the 13-month period, the escrowed shares will be promptly released to me.
3. If my total purchases pursuant to this Letter of Intent are less than the LOI Purchase Commitment, the offering price of the shares I purchased (including shares representing the escrowed amount) during the 13-month period will be adjusted to reflect the sales load applicable to the aggregate purchases I actually made (which will reduce the number of shares in my account) unless I have redeemed the shares in my account, in which case the Transfer Agent will redeem the number of escrowed shares necessary to obtain the difference between the dollar amount of sales loads actually paid by me and the amount of sales loads which I would have paid if my total purchases had been made at a single time and any remaining shares will be credited to my account. Full and fractional shares remaining after this redemption will be released to me.
4. I hereby irrevocably constitute and appoint the Transfer Agent my attorney-in-fact to surrender for redemption any or all escrowed shares.

I intend, but am not obligated, to invest in shares of Eligible Funds during the 13-month period from the date of my submission of this Letter of Intent, in an aggregate amount which will equal or exceed the minimum amount checked ("LOI Purchase Commitment"). (Check one box only.)

- | | | |
|---|---|---|
| <input type="checkbox"/> \$50,000 to less than \$100,000 | <input type="checkbox"/> \$250,000 to less than \$500,000 | <input type="checkbox"/> \$1,000,000 and over |
| <input type="checkbox"/> \$100,000 to less than \$250,000 | <input type="checkbox"/> \$500,000 to less than \$1,000,000 | |

This Letter of Intent must be received by the Transfer Agent to be considered effective. All future purchases placed directly with BNY Mellon Securities Corporation must refer to this Letter of Intent.

☐ Check if establishing Rights of Accumulation.

Please note the following:

Purchases of shares (including Class C shares) of any Eligible Fund (as defined below) qualify towards "Right of Accumulation" for purchases of Class A shares.

5. Reduced Sales Charge Continued

Shares may be purchased at the offering price applicable to the total of (a) the dollar amount then being purchased plus (b) an amount equal to the value of the combined present holdings of the "purchaser" (which includes the individual purchasing the shares, his or her spouse, and their minor children), as described in the prospectus, of shares of any Funds that are subject to a sales load, as described in the prospectus ("Eligible Funds"). In order for this cumulative quantity discount to be made available, the investor must identify all Fund accounts to be considered as qualified holdings. All accounts are subject to verification.

The following accounts qualify for the Right of Accumulation or Letter of Intent as described above and in a Fund's prospectus.

Account Number _____

Account Number _____

Account Number _____

Account Number _____

6. Please sign here:

Individual/Custodian/Trustee/Corporate Officer/Partner, etc. _____

Title/Capacity _____

Joint Owner (if any)/Second Trustee, Corporate Officer, Partner, etc. _____

Title/Capacity _____

Notary Required

If you are adding or changing a Dealer/Service Agent.

If the form is being submitted with an Account Application, a Notary is not required.

FOR NOTARY PUBLIC USE ONLY:

Sworn to (or affirmed) before me this

_____ day of _____, 20____

(Notary Signature)

My commission expires _____ (Affix seal)

FOR NOTARY PUBLIC USE ONLY:

Sworn to (or affirmed) before me this

_____ day of _____, 20____

(Notary Signature)

My commission expires _____ (Affix seal)

MAILING INSTRUCTIONS

Mail this form to:
BNY Shareholder Services
P.O. Box 534434
Pittsburgh, PA 15253-4434

For registered, certified or overnight mail
BNY Shareholder Services
Attention: 534434
500 Ross Street, 154-0520
Pittsburgh, PA 15262

For assistance: 1-800-373-9387

