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Transfer-on-Death Registration Form

Complete this form to designate your account to be registered as Transfer-on-Death (TOD) and to name a beneficiary. Please complete all sections below. Transfer-on-Death is a form of account registration that allows an individual who is the sole owner of a security or who is one of multiple owners in joint tenancy to register the security as a beneficiary registration. A beneficiary registration provides that, upon the death of the owner, ownership of the security will transfer to a designated beneficiary without going through any probate or testamentary action. A beneficiary may be canceled or changed by the owner(s) without the consent of the beneficiary. Please note that under the Transfer-on-Death with joint tenants, if one tenant is deceased, all shares become the surviving tenant's; therefore, the surviving tenant would need to re-register the account to reflect a new Transfer-on-Death beneficiary.

1. ACCOUNT INFORMATION

A. OWNER

First Name	Middle Name	Last Name
_____	_____	_____
Account Number	Fund Name	
_____	_____	

B. SECONDARY JOINT ACCOUNT OWNER (IF APPLICABLE)

First Name	Middle Name	Last Name
_____	_____	_____

2. BENEFICIARY INFORMATION

A. PRIMARY BENEFICIARY

First Name	Middle Name	Last Name	
_____	_____	_____	
Social Security/Tax ID Number	Date of Birth (mm/dd/yyyy)	Phone Number	
_____	_____	_____	
Street Address (P.O. Box not permitted, except APO or FPO)	City	State	Zip Code
_____	_____	_____	_____
Relationship	Percentage*		
_____	_____	%	

B. SECONDARY BENEFICIARY

First Name	Middle Name	Last Name	
_____	_____	_____	
Social Security/Tax ID Number	Date of Birth (mm/dd/yyyy)	Phone Number	
_____	_____	_____	
Street Address (P.O. Box not permitted, except APO or FPO)	City	State	Zip Code
_____	_____	_____	_____
Relationship	Percentage*		
_____	_____	%	

Check here if additional beneficiary information is attached on a separate page.

*Percentages must equal 100%. The default will be equal percentages unless otherwise indicated.

3. SPOUSAL CONSENT (IF APPLICABLE)

For accounts established individually, complete this section only if you, the shareowner, wish to name a beneficiary other than or in addition to your spouse as the primary beneficiary.

By signing below, I acknowledge that I am the spouse of the shareowner and agree with and consent to my spouse's designation of a primary beneficiary other than, or in addition to, me. I consent to the terms and conditions of these instructions.

Signature of Spouse

Name (First, Middle Initial, Last): _____

Signature: _____ Title: _____ Date: _____

4. SIGNATURES

The undersigned, residents of the state indicated above, have read and understand the attached Guidelines for Transfer On Death (TOD) Registration and hereby instruct Boston Financial Data Services, Inc. to register the accounts listed above, in transfer on death form, subject to the TOD regulations of the Securities Transfer Association as now or hereinafter in effect, for the benefit of the beneficiary designated above. Each of the undersigned hereby agrees to indemnify Boston Financial Data Services, Inc., 1290 Funds and their affiliated persons and service providers, against any loss, claim, or expenses (including reasonable attorney fees) to the extent that any transfer on death effected pursuant to these instructions is alleged or found for any reason to have been invalid or ineffective for any reason, and Boston Financial Data Services, Inc., 1290 Funds and their affiliated persons and service providers, will be entitled to attach or debit the account of the TOD beneficiary to the extent necessary to enforce their rights to this indemnity.

Signature of account holder, and joint owner, if applicable — original signature(s) required for processing.

Name (First, Middle Initial, Last): _____

Signature: _____ Date: _____

Name (First, Middle Initial, Last): _____

Signature: _____ Date: _____

Please Note: The Transfer-On-Death registration:

- Is available only for single name or joint tenant registrations.
- Allows only adults to be named as the beneficiary.
- Does not allow minors to be named as the beneficiary.
- Avoids the necessity of probate.

TERMS AND CONDITIONS OF TRANSFER ON DEATH (TOD) REGISTRATION

These rules are established by The 1290 Funds and may be canceled or amended from time to time upon prior written notice to you.

- I. You, the shareowner, may designate one or more than one beneficiary of the TOD Account. An UTMA or UGMA cannot be established as a TOD account. Beneficiaries are not "account owners" as the term is used herein. The 1290 Funds must receive a Social Security Number (SSN) for each beneficiary in order to ensure that your account is transferred to the appropriate person(s) upon the death of the last surviving shareowner. If the necessary SSN(s) for your designated beneficiary(ies) have not been provided, please send this information so that we may update your account.
- II. You may designate primary and contingent beneficiaries on your TOD account. Primary Beneficiaries are the first to receive the account upon your death. Contingent Beneficiaries receive the account upon the death of the shareowner if there are no surviving primary beneficiaries. You do not have to designate any contingent beneficiaries.
- III. Minors may be beneficiaries of a TOD account only if a custodian, trustee, or guardian is set forth for the minor. By not providing a custodian, trustee or guardian, the shareowner is representing that all of the named beneficiaries have reached the age of majority and therefore are not minors.
- IV. Beneficiaries have no rights to this account until your death or that of the last surviving joint owner. To distribute or transfer the account a certified copy of the Death Certificate, signature guaranteed letter from the beneficiaries and a completed W-9 must be provided.
- V. If more than one person is the owner of an account registered or to be registered TOD, the joint owners of the account must own the account as joint tenants with the rights of survivorship.
- VI. Where you instruct The 1290 Funds to register an account in TOD form and name multiple beneficiaries, The 1290 Funds will ultimately register the multiple beneficiaries as tenants in common (TEN COM) unless you expressly direct The 1290 Funds to register the account to the beneficiaries in another ownership form, such as joint tenants with the rights of survivorship.

Terms and Conditions of Transfer of Death continued

VII. Rights of Lineal Descendants of the designated beneficiary.

- A. If you register an account as a TOD account, and wish to have the account pass to the children of the designated in the event the designated beneficiary dies before you, you must state this in the instruction to register the account. If the phrase “Lineal descendants per stirpes” (LDPS), does not appear on your account, the children of beneficiaries who die before you will not receive a portion of your account.
- B. If a TOD account with multiple beneficiaries is registered LDPS, the LDPS registration must apply to all beneficiaries.
- C. If you do not specify that the account should be registered LDPS, the designated beneficiary must survive you to take the account or his or her part of the account. In the case of multiple beneficiaries, if one of the beneficiaries does not survive you, the deceased beneficiary’s share of the account will be divided equally among the remaining beneficiaries upon your death. If no beneficiary survives you, the account will be treated as part of your estate.

VIII. You may not register the TOD account to multiple beneficiaries in unequal or fractional shares. Multiple beneficiaries must receive equal portions of the account upon your death.

IX. You may revoke or change a beneficiary designation. Change or revocation requires:

- A. Endorsement by you or all of the joint owners, with signatures guaranteed;
- B. Instructions indicating either a new registration or designating a new TOD beneficiary, with signatures guaranteed; and
- C. Presentation to The 1290 Funds of the security in proper form for transfer, if in certificate form.

X. The persons set forth as the beneficiaries of your account shall remain the beneficiaries of the account and events subsequent to the registration of the account as a TOD account shall not change either the rights of the persons designated as beneficiaries or the status of the account, unless The 1290 Funds is expressly instructed by you to change the status of the account or the beneficiary designation prior to your death.

- A. Divorce—If you designate your spouse as a TOD beneficiary of the account, and subsequently you and the beneficiary are divorced, the fact of the divorce will automatically revoke the beneficiary designation.
- B. Will or other testamentary document — The beneficiary designation may not be revoked by you by the provisions of a Will or codicil to a Will.
- C. Dividends, Interest, capital gains and other distributions after your death:
 - 1. Accruals to your account which occur after your death, or the last surviving joint owner and are still in the account when it is re-registered to the beneficiary(ies), stay with the account and pass to the beneficiary(ies).
 - 2. Where the account has been coded for cash distributions, and such distributions have been paid out prior to notice to The 1290 Funds of your death, such distributions are deemed to be the property of your estate and do not pass with the account to the beneficiaries.

XI. TOD registrations may not be made irrevocable.

By providing you with these rules, The 1290 Funds is not giving any advice as to the legal effect of a TOD registration under applicable state laws governing inheritance and probate procedures. Since TOD directions do affect the disposition of your property at death, you should consult with your attorney to make certain that the direction is consistent with your estate and tax planning.

TOD Registration may not be available in all jurisdictions. 1290 Funds Asset Managers, its affiliates, 1290 Funds, and their directors, trustees, officers or employees make no representation that the TOD Registration will be effective if the account holder resides in a jurisdiction that has not adopted the TOD Act or any other statute of similar effect at the time of his or her death.