

# Change of Registration - Custodial Account for a Minor Checklist

PO Box 219109 • Kansas City, MO 64121-9109 • 800-240-4313

Janus Henderson  
INVESTORS

Use these forms to re-register a custodial account for a minor (Uniform Gifts/Transfers to Minors Act) to an individual account, when a minor reaches the legal age of termination.

## Questions?

call us at 800-240-4313

A Uniform Gifts/Transfers to Minors Act account may be re-registered to the minor when he/she reaches the age for legal termination of custodianship (see table below).

If the minor has reached the age of majority for the account's state of governance but not the age of legal termination, then custodial consent is required to re-register the account and the custodian must complete and sign the Letter of Instruction.

## Who is requesting this change? (provide requirements for either A or B)

### A. Custodian

- ☐ **Letter of Instruction** completed and signed by the custodian.
- ☐ **Non-Retirement Account—  
Update of Ownership Form**  
This form should be completed and signed by the former minor and/or anyone else who will become an owner on the account.

### B. Former Minor

- ☐ To re-register the account without custodial consent, the minor must have reached the Age for Legal Termination of Custodianship listed below.
- ☐ **Birth Certificate or Valid Passport** (please send copy)  
Copy required from the former minor as proof that he/she has reached the age of legal termination. *This is not required if the custodian completes and signs the Letter of Instruction.*
- ☐ **Non-Retirement Account—  
Update of Ownership Form**  
This form should be completed and signed by the former minor and/or anyone else who will become an owner on the account.
- ☐ If the former minor's name has changed, contact Janus Henderson for legal name change instructions.

## Age for Legal Termination of Custodianship

The following table provides the age custodianship terminates under the Uniform Transfers to Minors Act in each state. The state that applies to your account is noted in the account registration.

\* The age noted is under the Uniform Gifts to Minors Act in this state.

State	Age	State	Age	State	Age	State	Age
Alabama .....	21	Illinois .....	21	Montana .....	21	Rhode Island* .....	21
Alaska .....	21	Indiana .....	21	Nebraska .....	21	South Carolina* .....	21
Arizona .....	21	Iowa .....	21	Nevada .....	18	South Dakota .....	18
Arkansas .....	21	Kansas .....	21	New Hampshire .....	21	Tennessee .....	21
California .....	18	Kentucky .....	18	New Jersey .....	21	Texas .....	21
Colorado .....	21	Louisiana .....	18	New Mexico .....	21	Utah .....	21
Connecticut .....	21	Maine .....	18	New York .....	21	Vermont* .....	18
Delaware .....	21	Maryland .....	21	North Carolina .....	21	Virginia .....	18
District of Columbia .....	18	Massachusetts .....	21	North Dakota .....	21	Washington .....	21
Florida .....	21	Michigan* .....	18	Ohio .....	21	West Virginia .....	21
Georgia .....	21	Minnesota .....	21	Oklahoma .....	18	Wisconsin .....	21
Hawaii .....	21	Mississippi .....	21	Oregon .....	21	Wyoming .....	21
Idaho .....	21	Missouri .....	21	Pennsylvania .....	21		

**Note:** Some states have adopted variations to the legal age for termination of custodianship. Please contact Janus Henderson at 800-240-4313 if you believe a variation may apply to your account. The Uniform Gifts/Transfers to Minors Acts include specific provisions about the rights, powers and duties of both the custodian and the minor the account is established for. A UGMA/UTMA account is irrevocable and gives legal title to the minor. Additionally, only one minor and one custodian may be named on the account. Each state determines the age when the custodianship of a UGMA/UTMA account terminates.

# Letter of Instruction - Remove a Custodian

PO Box 219109 • Kansas City, MO 64121-9109 • 800-240-4313

**Janus Henderson**  
INVESTORS

## Questions?

call us at 800-240-4313

## Change of Registration

RE: Account Number(s) \_\_\_\_\_

Dear Janus Henderson:

\_\_\_\_\_ has reached the legal age of majority or legal age for termination of custodianship.  
Name of Former Minor

Please re-register the referenced account(s) to (*please print*): \_\_\_\_\_

Enclosed is a new Janus Henderson Non-Retirement Account—Update of Ownership Form, completed and signed by the former minor as required.

If you have questions or need additional information, I can be reached at:

\_\_\_\_\_  
Daytime Phone Evening Phone

**Signed:**

**X**

\_\_\_\_\_  
Signature of Custodian Date

\_\_\_\_\_  
Please Print Full Name

# Non-Retirement Account - Update of Ownership Form

Janus Henderson  
INVESTORS

PO Box 219109 • Kansas City, MO 64121-9109 • 800-240-4313

Use this form to establish a new Non-Retirement account at Janus Henderson when receiving ownership of an existing Janus Henderson account. **Please do not use this form to establish any type of Janus Henderson IRA, or to receive ownership due to the death of the original owner.**

- You must be a US Citizen or a US Resident Alien residing in the United States or a US Territory to open a Janus Henderson account.
- Please read important disclosures in Section 9.
- Assets will be transferred to the same fund(s) as the original account. If you would like to exchange to a different fund(s) at a later date, please contact a Janus Henderson representative or visit [janushenderson.com](http://janushenderson.com).
- **Important Note:** To help the government deter money laundering and terrorism funding activities, all financial institutions are required to obtain, verify and record information that identifies each person who opens an account.
- Print in capital letters using black ink.
- Questions? Call 800-240-4313.

## 1. Original account information.

Please provide the following information about the **original** Janus Henderson account.

First Name	Middle Initial	Last Name
<hr/>		
Social Security Number	Account Number(s)	
<hr/>		
Custodian or Trust Name (if applicable)		
<hr/>		

## 2. What name and address would you like on your new account? (all fields required unless noted)

### New Account Information

First Name	Middle Initial	Last Name
<hr/>		
Social Security Number	Date of Birth	
<hr/>		

☐ Please send me information about adding an authorized person to act on my account.

**Mailing Address** (If you provide a PO Box, you must also fill out **Physical Address** below.)

Street Number or PO Box	Street Name	Apartment Number
<hr/>		
City	State	Zip Code
<hr/>		
Phone Number (required)	E-mail Address (optional)	
<hr/>		

**Physical Address** (Required, if different from above. No PO Box addresses.)

Street Number	Street Name	Apartment Number
<hr/>		
City	State	Zip Code
<hr/>		

### 3. Would you like to add a joint owner to this account? (all fields required unless noted)

Complete this section to add a joint owner to this account (**signature guarantee required**). **All owners must sign in Section 9.**

#### Joint Owner's Information

First Name	Middle Initial	Last Name
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Social Security Number	Date of Birth
------------------------	---------------

#### **Mailing Address** (If you provide a PO Box, you must also fill out **Physical Address** below.)

Street Number or PO Box	Street Name	Apartment Number
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City	State	Zip Code
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Preferred Phone Number (required)	E-mail Address (optional)
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#### **Physical Address** (Required, if different from above. No PO Box addresses.)

Street Number	Street Name	Apartment Number
---------------	-------------	------------------

City	State	Zip Code
------	-------	----------

### 4. Do you plan to redeem this account at this time?

☐ No, please go to Section 5.

☐ Yes, please complete Option A or B below. **Signature guarantee required.** See Note below.

A. Send a check to my **address** listed in Section 2

B. Send to my **bank** listed in Section 6

☐ Redeem all shares

☐ Redeem all shares

☐ Partial redemption as indicated below:

☐ Partial redemption as indicated below:

Fund Name or Number	% or \$ Amount
---------------------	----------------

Fund Name or Number	% or \$ Amount
---------------------	----------------

Fund Name or Number	% or \$ Amount
---------------------	----------------

Fund Name or Number	% or \$ Amount
---------------------	----------------

**Note:** If you are redeeming immediately, unless otherwise indicated, Janus Henderson will send a check to the address provided in Section 2 payable to the new account owner(s). **You must have your signature(s) guaranteed in Section 10.**

## 5. Would you like to add a bank to your account?

- ☐ No, please go to Section 8.
- ☐ Yes, please continue to the next section.

## 6. Provide your bank information.

Please provide your bank information if you are enrolling in **Janus Henderson's Automatic Investment Program** and/or would like to make future **electronic purchases and redemptions**.

This is a: ☐ Checking Account ☐ Savings Account



**Please attach a preprinted voided item.**

Need an alternative to a voided item? Please contact a Janus Henderson representative at 800-240-4313.

Signature(s) of bank account owner(s), if different from all Janus Henderson account owner(s), are required to add Purchase options.  
To add Redemption options, if all bank owner(s) are different from the Janus Henderson account owner(s), fill out the Bank Options Form.

## 7. Do you want to invest on a regular basis through Janus Henderson's Automatic Investment Program?

Enroll in our Automatic Investment Program (AIP) and we will automatically transfer a set amount (minimum \$50) from your bank account directly into the Janus Henderson fund(s) of your choice. If you would like to enroll, please provide your bank information in Section 6. Your AIP may generally be modified or cancelled at any time by visiting [janushenderson.com](http://janushenderson.com) or by calling a Janus Henderson representative.

Fund Name	Investment Amount* (\$50 min.)	Starting Month	Investment Date*

Frequency\*  
☐ Monthly  
☐ Every Other Month  
☐ Quarterly

Frequency\*  
☐ Monthly  
☐ Every Other Month  
☐ Quarterly

\*If investment amount, frequency or investment date are not specified, investments of \$50 will be made on the 20th of each month.

☐ Please send me information about Janus Henderson's Payroll Deduction Program

**8. Would you like to add a Transfer on Death (TOD) beneficiary(ies) to your account?** (optional)

Please see *Guidelines for Transfer on Death (TOD) Registration* in Section 9.

**A. Primary Beneficiary(ies)**

If applicable, the share of a beneficiary who predeceases the account owner will be divided proportionally among the surviving beneficiaries. If you have more than 2 primary beneficiaries please attach a separate sheet. Primary beneficiary allocations must total 100%.

First Name	Middle Initial	Last Name	Relationship
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Social Security Number	Date of Birth	% of Account
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☐ Check here if beneficiary is a minor and appoint one person as custodian. You cannot name yourself as custodian.

Custodian's Full Name

First Name	Middle Initial	Last Name	Relationship
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Social Security Number	Date of Birth	% of Account
------------------------	---------------	--------------

☐ Check here if beneficiary is a minor and appoint one person as custodian. You cannot name yourself as custodian.

Custodian's Full Name

Total: \_\_\_\_\_ % Must total 100%

**B. Secondary Beneficiary(ies)**

Secondary beneficiaries only receive assets if the account owner has died and all primary beneficiaries predecease the owner or disclaim assets. If you have more than 2 secondary beneficiaries please attach a separate sheet. Secondary beneficiary allocations must total 100%.

First Name	Middle Initial	Last Name	Relationship
------------	----------------	-----------	--------------

Social Security Number	Date of Birth	% of Account
------------------------	---------------	--------------

☐ Check here if beneficiary is a minor and appoint one person as custodian. You cannot name yourself as custodian.

Custodian's Full Name

First Name	Middle Initial	Last Name	Relationship
------------	----------------	-----------	--------------

Social Security Number	Date of Birth	% of Account
------------------------	---------------	--------------

☐ Check here if beneficiary is a minor and appoint one person as custodian. You cannot name yourself as custodian.

Custodian's Full Name

Total: \_\_\_\_\_ % Must total 100%

## 9. Please read and sign.

### By signing, I:

- Certify that I have received and read the current prospectus of the Fund(s) in which I am investing. I certify that I have the authority and legal capacity to make this purchase and that I am of legal age in my state of residence.
- Agree to read the prospectus for any Janus Henderson fund(s) into which I may request an exchange in the future. I understand that the terms, representations and conditions in this application and the prospectus, as amended from time to time, will apply to this account and any account established at a later date.
- Agree that if we opened a joint account that we will be joint tenants with rights of survivorship (unless otherwise indicated, or if we are residents of Louisiana).
- Authorize the Fund and its agents to act upon instructions (by phone, in writing, online or by other means) believed to be genuine and in accordance with procedures described in the prospectus for this account or any account into which exchanges are made. I agree that neither the Funds nor the transfer agent will be liable for any loss, cost or expense for acting on such instructions, provided the Fund employs reasonable procedures to confirm that instructions communicated are genuine. I understand it is my responsibility to review account statements and inform Janus Henderson of errors posted to my account. I understand Janus Henderson reserves the right not to correct errors not brought to the company's attention within a reasonable time period. I understand that anyone who can properly identify my account(s) may be able to make telephone transactions on my behalf.
- Authorize the Fund and its agents to issue credits to and make debits from the bank account information set forth on this application. I agree that Janus Henderson shall be fully protected in honoring any such transaction. I also agree that Janus Henderson may make additional attempts to debit/credit my account if the initial attempt fails and that I will be liable for any associated costs.
- Agree that if I submit bank information that is for a bank that does not participate in the Automated Clearing House (ACH) or provide information for a nonbank account, Janus Henderson will price my purchase at the net asset value next determined after Janus Henderson receives good funds. All account options selected will become part of the terms, representations and conditions of this application.
- Authorize the Fund and its agents to establish telephone and online redemption and purchase privileges on my account. I also authorize the Fund and its agents to reinvest all income dividends and capital gains distributions in the distributing fund. I authorize the Fund and its agents to establish redemption privileges by electronic transfer to the bank account set forth on this application.
- Consent to the 'householded' delivery of any fund prospectuses, shareholder reports or other documents (except transaction confirmations and account statements) that I am required, by law, to receive. This means Janus Henderson will generally deliver a single copy of the most recent annual and semi-annual reports, prospectuses, and newsletters to investors who share an address, even if the accounts are registered under different names. My participation in this program will continue indefinitely unless I contact Janus Henderson.
- Acknowledge pursuant to the Emergency Economic Stabilization Act of 2008, Janus Henderson is required to track and report cost basis information on the sale (redemption or exchange) of Covered Shares (shares purchased on or after 1/1/2012) to the Internal Revenue Service (IRS). Reporting is not required for Uncovered Shares (shares purchased before 1/1/2012). Janus Henderson utilizes Average Cost as the default method for tracking and reporting cost basis. If you wish to elect a different method for your account, please cross out this statement and include signed written instructions indicating your desired cost basis method. Alternate elections will apply only to Covered Share purchases.
- Understand that while Janus Henderson's processes generally apply the IRS rules regarding the basis of gifted or inherited securities, they do not account for all possible situations that may affect my cost basis. Therefore, it is important to work closely with a tax advisor when transferring and/or selling assets obtained by gift or inheritance in order to have the most accurate basis information and to communicate that information to Janus Henderson so our reporting is accurate.
- **Important Note:** To help the government deter terrorism funding and money laundering activities, all financial institutions are required to obtain, verify and record information that identifies each person who opens an account. So that we may comply with these requirements, we ask you to please complete Section 2 and 3 in its entirety when opening an account with Janus Henderson. The omission of this information will result in the return of your application and investment. Please note that your ability to perform transactions in your account may also be affected or otherwise delayed if Janus Henderson cannot easily verify the accuracy of the required information in Section 2 and 3. If, after 30 days, Janus Henderson is still unable to verify the required information, your account may be closed and your shares redeemed at the next available NAV.

### Guidelines for Transfer on Death (TOD) Registration:

- Transfer on Death ("TOD") is a form of ownership that enables the owner of an account to transfer ownership directly to a designated beneficiary upon the death of the owner(s). The ownership of the account generally passes to the beneficiary(ies) outside of probate. The beneficiary has no rights with respect to the account until the owner (or, in the case of joint owners, the last surviving owner) dies, and no instructions can be accepted from, or information provided to, such beneficiary. Since TOD directions affect the disposition of your property at your death, you should consult with an attorney or estate planning professional to ensure that your directions are consistent with your estate and tax planning objectives.
- TOD registration is only available for accounts registered in the name of an individual, or in the name of two or more individuals holding the account as joint owners with rights of survivorship ("JTWRORS") or tenants by the entirety ("TEN ENT").
- The beneficiary may be one or more individuals, a trust, a corporation, a partnership or other legal entity. Designations such as Lineal Descendants or Lineal Descendants Per Stirpes ("LDPS") are not permitted. Complex beneficiary requests should be accomplished through a Will or Trust.
- If the account owner designated his or her spouse as the TOD beneficiary, and subsequently the account owner and beneficiary divorce, the divorce does not automatically revoke the beneficiary designation. The account owner must change the beneficiary designation in clear written instructions to be effective.

- The account owner(s) may change or revoke a TOD registration by sending clear written instructions to Janus Henderson, signed by the account owner(s).
- If the beneficiary(ies) fails to survive the account owner(s), the account will be treated as belonging to the estate of the last surviving owner. If a beneficiary survives the account owner(s), but dies prior to receiving his or her portion of the account, the assets will belong to the estate of the beneficiary. If multiple beneficiaries are named and one or more predeceases the owner, their share of the account will be divided proportionally among the surviving beneficiaries.
- Janus Services LLC does not have a duty to locate beneficiaries, to determine the marital status of the account owner(s), or to determine any other fact which may affect a transfer pursuant to a TOD registration of any account.
- These guidelines are subject to change at any time without prior notice.

The undersigned has read and understands the Transfer on Death Guidelines. Each of the undersigned, on behalf of myself/ ourselves and my/our successors, heirs and beneficiaries, agree to indemnify and hold harmless Janus Services LLC, Janus Henderson Distributors, Janus Investment Fund and each series thereunder, Janus Capital Management LLC, Janus Henderson Group plc, their affiliates and subsidiaries, and all of their officers, trustees/directors, employees, agents and representatives against any loss, claim or expense (including reasonable attorney's 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, conflicts with any other designation of beneficiary, or creates any unfavorable or adverse tax or legal consequences to the undersigned or his or her heirs or beneficiaries.

**Under penalty of perjury, I certify that:**

1. The Social Security Number(s) shown on this application is correct.
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding; or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends; or (c) the IRS has notified me that I am no longer subject to backup withholding. Cross out item 2 if you have been notified by the IRS that you are currently subject to backup withholding.
3. I am a US Citizen or a US Resident Alien residing in the United States or a US Territory.
4. I am exempt from reporting per the Foreign Account Tax Compliance Act (FATCA).

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

**X**

Signature of Owner

Date

**X**

Signature of Joint Owner (if applicable)

Date

Printed Name of Owner

Printed Name of Joint Owner

**10. Do you need a signature guarantee?**

A signature guarantee is required from the new account owner(s) if the account will be immediately redeemed or if the account will be registered to anyone other than the former minor of a custodial account or those listed on the signature guaranteed Janus Henderson Transfer of Ownership Form. For more information, please contact a Janus Henderson representative at 800-240-4313.

**SIGNATURE GUARANTEE STAMP  
(Including Medallion Guarantees)**

**SIGNATURE GUARANTEE STAMP  
(Including Medallion Guarantees)**

**PLACE GUARANTEE STAMP AND AUTHORIZED SIGNATURE INSIDE OF THE SPACE PROVIDED ABOVE. DO NOT OVERLAP ANY PART OF THE STAMP AND/OR SIGNATURE WITH OTHER TEXT IN THE APPLICATION.**

**This form must be signed in the presence of the individual guaranteeing your signature.** A signature guarantee assures a signature is genuine and protects you from unauthorized requests on your account. Financial institutions that may guarantee signatures include banks, savings and loans, trust companies, credit unions, broker/dealers and member firms of a national securities exchange. Contact the financial institution you intend to obtain a signature guarantee from for further information. **A notary public cannot provide a signature guarantee.**



# INVESTOR EDUCATION

## Investing Just Got Easier

You can now set up an automatic investment plan for as little as \$50 per month.

It may be the most valuable \$50 you'll spend this month. An automatic investment regularly transfers money from your bank account, directly to your Janus Henderson account on a schedule that works for you. Staying committed to your investment just got easier.

► **It's Convenient**

There's no need to mail a check or even go online once the plan is set up.

► **Avoid Annual Fee**

Automatic investing can help build your share balance and potentially avoid annual fees for not maintaining the required minimum balance.

► **Stay on Track with Your Budget**

By ensuring steady contributions, automatic investing helps you stay committed to your long-term plan regardless of emotions created by financial news or short-term market volatility.

**\$50**

monthly automatic investment

= \$1.64/day

**\$100**

monthly automatic investment

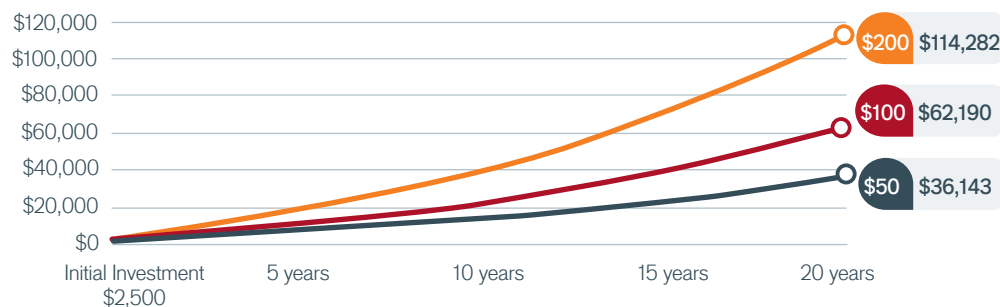
= \$3.29/day

**\$200**

monthly automatic investment

= \$6.58/day

### The Power of Compounding



The rates of return are hypothetical and do not represent the returns of any particular investment. Assumes 7% annual growth rate and reinvestment of all income. It does not account for taxes.



### 3 easy ways to enroll in an automatic investment plan today!

- Complete and mail the enclosed form
- Visit [janushenderson.com/autostart](http://janushenderson.com/autostart)
- Call a Janus Henderson representative at 800.525.3713

Investing involves market risk. Investment return and fund share value will fluctuate and it is possible to lose money by investing. A program of regular investing does not assure a profit or protect against depreciation in a declining market.

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