

# Transfer on Death Registration Request & Agreement



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**Do not use this form for retirement accounts**

## Information

\_\_\_\_\_  
*Fund Name*

\_\_\_\_\_  
*Account Number*

\_\_\_\_\_  
*Date*

## Account Status

Individual     Joint tenant with right of survivorship

## Customer Authorization

By signing below, I/we request that my/our investment which has been marked above be registered in "transfer on death" form, in accordance with the provisions of the law of the state of my residence (or any successor law), and designate the following person/s to whom the investment shall pass after I am/we are deceased:

\_\_\_\_\_  
*Beneficiary Name*  
(List any additional Beneficiaries on the back of this form)

\_\_\_\_\_  
*Beneficiary's DOB*

\_\_\_\_\_  
*Beneficiary's SSN*

By signing below, I/we also make the following warranties, representations, and agreements:

1. You are not required to re-register the investment in the name of the beneficiary unless you have received such documents as you may require to establish that I am deceased/we are both deceased.
2. You may re-register the investment in the name of the beneficiary upon receipt of such documents, even if the beneficiary is also deceased. For beneficiaries who are minors, you may require appointment of a guardian or conservator as a condition of any distribution.
3. You are not responsible for determining the tax consequences of the decision to register this investment as requested above.
4. I/we agree to hold harmless, indemnify, and defend you for any claim, loss, or liability resulting from (a) any breach of any warranty or representation in this Agreement, and (b) any action you take in connection with the registration, any re-registration in the name of the beneficiary, and from any distribution thereafter to the beneficiary or for the benefit of the beneficiary, made as requested or authorized under this agreement.
5. If this Agreement is established under joint tenants with right of survivorship account status, upon the death of one of the joint owners, ownership shall pass to the surviving joint owner, and you may follow the instructions of the survivor with regard to the investment, including, without limitation, instructions to (a) terminate transfer on death registration, (b) change owner or beneficiary, or (c) redeem all or any part of the investment.
6. If I have established this account individually and am married (or jointly, and am not married to my joint applicant), my spouse's waiver has been executed below.
7. You have not provided any legal advice to me, and I agree to obtain the advice of an attorney with regard to the enforceability of this form of registration in my state, and its affect on my estate and tax planning.

**X** \_\_\_\_\_  
*Applicant's Signature*

**X** \_\_\_\_\_  
*Joint Applicant's Signature*

## Spousal Waiver

By signing below, I/we also make the following warranties, representations, and agreements:

**X** \_\_\_\_\_  
*Signature of Applicant's Spouse*

**X** \_\_\_\_\_  
*Signature of Joint Applicant's Spouse*

List of states which may allow TOD Registration: Alabama, Alaska, Arizona, Arkansas, California, Colorado, Connecticut, Delaware, District of Columbia, Florida, Georgia, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Kentucky, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Montana, Nebraska, Nevada, New Hampshire, New Jersey, New Mexico, North Dakota, Ohio, Oklahoma, Oregon, Pennsylvania, Rhode Island, South Carolina, South Dakota, Tennessee, Utah, Vermont, Virginia, Washington, West Virginia, Wisconsin and Wyoming.