

Uniform Investment Company Notice Filing

Please Read Instructions Prior to Filling Out Form

State File No. _____

Notice to the State/Commonwealth of _____

1. Name of Issuer _____

2. Address _____

3. Type of Filing: (check all that apply)

<input type="checkbox"/> Open-end Mutual Fund	<input type="checkbox"/> Renewal Filing	<input type="checkbox"/> Closed-end Mutual Fund
<input type="checkbox"/> Initial Filing	<input type="checkbox"/> Withdrawal	<input type="checkbox"/> Exemption Filing
<input type="checkbox"/> Termination	<input type="checkbox"/> Amendments	<input type="checkbox"/> Increase Dollar Amount
<input type="checkbox"/> Unit Investment Trust	<input type="checkbox"/> Sales Report	

Other (Please Specify) _____

For name changes, provide former name: _____

For amendments, specify nature of the change(s): _____

4. Description and Name of Securities:

Description: _____

Name of Fund: _____

Portfolio(s): _____

Class(es): _____

Are all of the securities described on this form offered in one prospectus? [] Yes [] No

5. Contact Person:

Name _____ Firm _____

Address _____

City _____ State _____

Zip Code _____ Telephone Number _____

Fax Number _____ E-Mail _____

6. CIK# _____ Federal ID# (if applicable) _____

Broker-Dealer _____ Broker-Dealers CRD # _____

Fiscal Year End (if applicable) _____

7. Please check one:

Notice Period: Beginning Date ____/____/____ Ending Date ____/____/____

The issuer elects to have its notice filing made effective upon filing.

The issuer elects to have its notice filing period begin with SEC effectiveness and thereby agrees to provide the above state prompt notice of such effectiveness.

8. Notice Fee: \$ _____ Sales Report Fee (if applicable) \$ _____
Other Fee \$ _____ Explain _____
___ No Filing Fee Required

9. To determine the basis used for calculating the filing fee, provide the following:

- G Indefinite Amount \$ _____
- G Exemption Filing _____
- G Definite Amount \$ _____
- G Net Assets _____

10. For filings to increase the dollar amount of securities reported during the notice period, provide the following:

- 1) Previous Amount of Securities _____
- 2) Amount of Increase _____
- 3) Cumulative Amount of Securities _____

11. **Sales Report [To the extent not applicable, place N/A in the blank(s)]**

Period Covered: Beginning date ____/____/____ Ending ____/____/____
Balance at beginning of period \$ _____
Increases during period \$ _____
Amount available for sale \$ _____
Sales during the period \$ _____
Unsold balance at end of period \$ _____

12. **Uniform Consent to Service of Process (select one):**

- G Was previously filed with state with respect to the issuer of the securities by this notice and is incorporated by reference.
- G Is attached.
- G Not applicable (explain): _____

13. **Signatures**

The undersigned under penalties of perjury certifies that s/he has executed this Uniform Investment company notice on behalf of, and with the authority of the issuer. The undersigned and the issuer represent that the information and statements contained in the notice filed, are current true and complete to the best of his or her knowledge, information and belief and that any documents submitted with the notice are true copies of the originals, and that the securities covered by this Notice are Covered Securities as defined by Section 18(b)(2) of the Securities Act of 1933.

Dated this ____ day of _____, _____.
Month Year

For: _____ By: _____
Name of Issuer Signature of Authorized Agent of Issuer

Print Name Title of Agent for Issuer

The filing of this notice constitutes a binding agreement by the above-named issuer and under the laws of the jurisdiction in which this Form is filed, that upon receipt of a request from such jurisdiction, the issuer will promptly provide a copy of its current prospectus, and/or statement of additional information, and/or any other document, if any, as filed with the Securities and Exchange Commission.

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