

Processing Rules for the Automatic Rebalancing Form

To use this form to automatically rebalance an account, please follow these instructions:

FUND LEVEL

When rebalancing at the Fund Level, only the funds listed in Section 1 will be affected. These funds will be rebalanced as per the weightings indicated. All other fund holdings within the account but not listed here will not be rebalanced.

Fund Level rebalancing is fund class specific allowing for multiple account services based on fund class. Fund weightings must total 100% for each fund class. The frequency, variance and rebalancing level must be the same for all fund classes.

ACCOUNT LEVEL

When rebalancing at the Account Level, all fund holdings in your account will be affected. All assets in your account will be switched into the funds listed in Section 1 as per the weightings indicated.

Account Level rebalancing is fund class specific allowing for multiple account services based on fund class. Fund weightings must total 100% for each fund class. The frequency, variance and rebalancing level must be the same for all fund classes.

ADDITIONAL BUSINESS RULES

- LSIF, Hedge Funds, and Guaranteed Retirement Cash Flow Series Funds are not eligible for the Automatic Rebalancing Program. If selected, these funds will not be included in the Automatic Rebalancing Program and the remaining selected funds will be set up proportionately.
- US Dollar funds are eligible for the Automatic Rebalancing Program, exclusively within its own currency.
- Please note that both the initial sales charge (ISC) and deferred sales charge (DSC) versions of the same fund are considered the same underlying fund. Therefore, only one fund needs to be listed with the target weighting. ISC securities will be switched to ISC securities, and DSC securities will be switched to DSC securities.
- Rebalancing is not permitted between load types; example: ISC to DSC or DSC to ISC.
- Rebalancing between fund classes is not permitted.