INSTRUCTIONS TO FORM NF

Form NF should be used for investment company initial filings, renewals, amendments and sales reports. This form should be used for all filing options, including definite and indefinite filings.

ITEM 1. Name of Issuer: State the name of the investment company for which the notice filing is being made. Do not use the name of the broker-dealer or distributor.

ITEM 3. Amendment Filings: Provide the applicable information. However, it may not be necessary to complete the entire form. Amendments include changes in the correspondent or fund name or a new fiscal year end. Changes such as reorganizations should be reported under “Other”, with a written explanation. If in doubt about the proper category, use “Other” and provide an explanation.

ITEM 4. Description of Securities: This information should be provided at the level necessary in the given state. For example, if the state is a “trust level” state, portfolio and class information may not be required. A separate Form NF should be filed for each portfolio or class, to the extent required by the given state. Attach a list of all portfolios or classes for “trust level” states. For states whose fees are based on the prospectus, a separate Form NF should be filed for each prospectus and should include a list of all securities listed in the prospectus.

ITEM 6.

CIK number (EDGAR): Please provide the Central Index Key Number that will cross-reference the SEC filing.

Federal ID Numbers and SEC Registration Numbers: Federal identification numbers are only available for the fund or trust. Provide the Federal ID No. and SEC Registration No. if filing in a jurisdiction that requires these numbers.

Fiscal Year: Fiscal year information is not required for unit investment trusts, since the filing period runs concurrently with SEC effectiveness.

ITEM 7. Notice Period: The notice period is established by law, administrative regulation or policy in some jurisdictions. As a result, one or more of the three options provided on the form may not be available in each jurisdiction. In addition, if the issuer elects to begin the notice filing period on the date of SEC effectiveness, the notice period will end on the date that a renewal filing is required.

ITEM 12. Uniform Consent to Service of Process: The uniform consent to service of process form is separate from the Notice Filing Form (Form NF). Issuers shall use the Uniform Consent to Service of Process Form (Form U-2).

PROSPECTUS AND STATEMENT OF ADDITIONAL INFORMATION. In some jurisdictions, you may be required by law, administrative regulation or policy to file the Form NF with a prospectus and/or statement of additional information.
UNIFORM INVESTMENT COMPANY NOTICE FILING

Please Read Instructions Prior To Filling Out Form

Notice to the State/Commonwealth of _______________________________________________

1. Name of Issuer ________________________________________________________________

2. Address ___________________________________________________________________

3. Type of Filing: (check all that apply)
   - Open-end Mutual Fund
   - Unit Investment Trust
   - Closed-end Mutual Fund
   - Initial Filing
   - Renewal Filing
   - Amendments
   - Exemption Filing
   - Termination
   - Withdrawal
   - Sales Report
   - Increase Dollar Amount
   - Other (specify) ___________________________

   For name changes, provide former name: _______________________________________

   For amendments, specify nature of the changes(s): ______________________________

4. Description of Securities: ______________________________________________________
   Name of Fund ________________________________________________________________

   Portfolio(s) ___________________________________________________________________

   Class(es) _____________________________________________________________________

   Fiscal Year End of the issuer (if applicable) ______________________________________

5. Contact Person:
   Name ______________________________ Firm _________________________________________
   Address ______________________________________________________________________

   City ____________________________ State ____________ Zip Code ______________
   Telephone ____________ FAX ____________ Email ____________________________

6. CIK# (EDGAR) ________________________ Federal ID# (if applicable) ________________
   Broker-Dealer: _____________________ SEC Registration No. (if applicable) ________
   Broker Dealer’s CRD No. ______________ State of Incorporation/Charter _____________
7. □ 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: $__________________________  □ No Filing Fee Required
   Sales Report Fee (if applicable) $________________________
   Other Fee $__________________ Explain _______________________________________

9. To determine the basis used for calculating the filing fee, provide the following:
   □ Indefinite Amount  □ Definite Amount $__________________________
   □ Exemption Filing  □ Net Assets: $__________________________

10. For filings to increase the dollar amount of securities reported during the notice period, provide the following:
    (a) Previous Amount of Securities ________________________________
    (b) Amount of Increase ________________________________
    (c) 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)
    □ Was previously filed with the state with respect to the issuer of the securities covered by this notice and is incorporated by reference.
    □ Is attached.
    □ 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 §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 file, 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.