



Death Claim Request

For more information, contact us toll-free at 800.820.0888.

Visit our web site at GuggenheimInvestments.com | Standard delivery: Guggenheim Investments, P.O. Box 534493, Pittsburgh, PA 15253-4493

Overnight delivery: Guggenheim Investments, Attention: 534493, 500 Ross Street, Pittsburgh, PA 15262

This form may be used to transfer shares to a new account upon the death of an account owner or trustee. **Additional documentation may be required;** please contact Client Services at the number above for more information.

1. EXISTING ACCOUNT INFORMATION

Account Registration

Account Number

Decedent's Name

Date of Death

2. CLAIMANT INFORMATION

Claimant's Name

Relationship to Decedent: (check all that apply)

Spouse

Executor

Successor Trustee

Designated Beneficiary

Other _____

Address

City

State

ZIP Code

Phone Number

3. NON-QUALIFIED ACCOUNT TRANSFER INSTRUCTIONS

Complete this section to transfer inherited assets from a decedent's non-qualified (e.g. Individual, Joint, or Trust) account.

Please transfer the inherited assets into my:

- New** Guggenheim Investments account. I have completed and enclosed a New Account Application with this transfer request.
- Existing** Guggenheim Investments account. Please apply the proceeds to Guggenheim Investments account number _____.

To ensure accurate cost basis reporting, select a share valuation option below. *If no selection is made, inherited shares will typically transfer with a basis as of the date of death; however, in situations where the ownership interest cannot be determined, shares may be deemed non-covered instead.* For help determining the best share valuation option for your specific legal or tax situation, please consult an attorney or other tax professional.

- Date of Death Valuation
- Alternate Valuation Date (6 months after Date of Death)
- Other, as described below: *(attach additional pages if necessary)*

4. SIGNATURE(S)

Please transfer my portion of the decedent's account as requested above. I agree that Guggenheim Investments will not be held liable for any resulting loss or expense from acting on these instructions.

This form requires a Medallion signature guarantee. A Medallion signature guarantee is normally obtained from a commercial bank, credit union, brokerage firm, savings & loan association, or trust company. **Acknowledgement by a Notary Public is not a signature guarantee and will not be accepted.**

_____	_____
Claimant's Signature	Date

_____	_____
Co-Executor or Co-Trustee's Signature <i>(if applicable)</i>	Date

MEDALLION SIGNATURE GUARANTEE (Must be completed by an eligible guarantor institution.)

MEDALLION SIGNATURE GUARANTEE (Must be completed by an eligible guarantor institution.)

BEFORE MAILING THIS FORM, HAVE YOU...

- included an original or certified death certificate?*
- obtained a Medallion signature guarantee(s)?*
- completed a new account application, if applicable?*
- included court-certified letters of testamentary, if applicable?*
- enclosed updated trust documents, including any amendments, if applicable?*