

No Transaction Fee (NTF) Mutual Fund Program



Wealth
Management

The following list represents the Premier Fund Families participating in the No Transaction Fee “NTF” Program, which allows you to buy, sell and exchange thousands of load and no-load mutual funds without incurring transaction charges.¹

Alger	Cullen Funds	IVA Funds	Prudential ⁵
AllianceBernstein (A, B & C Shares Only)	Delaware	Ivy	Putnam
Allianz (A, B & C Shares Only)	Deutsche (Excludes Institutional Class Funds)	JPMorgan ⁴	RBC Global Asset Management (A and I shares only)
Alpine Funds	Direxion (Investor Share Class Only)	Keeley Funds	Reaves Asset Management
Alps (A & C Shares Only)	DoubleLine (I & N Shares Only)	Keystone	REMS Funds
Altegris	Dreyfus (Excludes No Load Funds)	Lazard	Rice Hall James
Amana Funds	Dunham	LoCorr	RiverSource
American Beacon (A, C & Investor Shares Only)	Eagle (A, C & I Shares Only)	Loomis (A Shares Only)	RS Funds (A, B & C Shares Only)
American Funds (Excludes R Class)	Emerald	Lord Abbett (A Shares Only)	Russell Funds
AMG (Excludes Institutional Shares)	Federated ²	Madison (Y Shares Only)	Satuit
AQR	First Eagle	Mainstay	Seligman
Arbitrage (R Shares Only)	Franklin Templeton	Manning & Napier (A, C & S Shares Only)	Sentinel
ASG (A Shares Only)	GAMCO (Includes all GAMCO, Gabelli & Comstock)	Marketfield	SSGA ⁶
Astor (I & R Shares Only)	Gateway (A Shares Only)	Matthews Asian Funds (Excludes Institutional Shares)	Stadion Funds
Auer	GaveKal	MutualHedge Frontier Legends	T. Rowe Price (Advisor Class Only)
Baron	Goldman Sachs (Excludes No Load and Enhanced Income Fund)	Natixis (A Shares Only)	TCW
BlackRock	Guggenheim ³	Neuberger Berman (A & C Shares Only)	Third Avenue (Investor Share Class Only)
Brandes Funds	Guinness Atkinson	Nuveen (A Shares Only)	Thornburg
Buffalo	Hansberger (A and Advisor Shares Only)	Oak Ridge	TIAA-CREF (Retirement Shares Only)
Burnham Funds	Harding Loevner	Oakmark (A Shares Only)	Tocqueville
Calamos	Hatteras Fund	Oppenheimer	Touchstone
Cambiar (Excludes Institutional Shares)	Henderson	Pax World	Van Eck (A Shares Only)
Causeway Funds	ICON	Payden	Vaughn Nelson (A Shares Only)
Cohen & Steers	Intrepid Capital Funds	PIMCO (A, B & C Shares Only)	Voya
Columbia Funds	Invesco (Excludes Investor Share Class)	Pioneer	Wasatch
Conestoga		PMC Funds	Wells Fargo Advantage (Excludes I Shares and Index Funds)
CRA Qualified Investment Fund (Institutional Share Class Only)		Polen Funds	
		Princeton	
		Principal Funds	

1. Other charges that the fund family or your firm may assess are applicable

2. Excludes Y & K share classes and ultra short duration funds. Other exclusions may also apply

3. Excludes Guggenheim Institutional Class Funds

4. A, B, C shares of Trusts, excludes no load and C shared of OGUCX, OSTCX, STMCX, OEICX, OMECX

5. Excludes Dryden Stock Index Fund, Dryden US Equity Active Extension Fund, Jennison Utility Fund, Target Conservative Allocation Fund, Target Growth Allocation Fund and Target Moderate Allocation Fund

6. Includes only the following funds: High Yield Bond, Intermediate, Directional Core Equity, Enhanced Small Cap, IAM Shares, Tuckerman Active REIT, Core Edge Equity, Emerging Markets, International Stock Selection

Important Notes on the NTF Program: Certain mutual fund companies may require your firm to establish a selling agreement with the fund company in order to transact business with the fund company. Money market funds are not eligible for the NTF Program.

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