



NFS Maintenance Information

Account Information

Account Number*:	AFY673029
Work Item	5629265

Advisor Information

Name:	MICHAEL JOHN HARVEY
Rep Number:	7DU

Account Owner

First Name:	Gregory
Last Name:	Leonhardt
Entity/Trust Name:	
SSN/TIN:	320426118

Additional Information

Comments	Please return completed document by 4.3.23
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NFS Brokerage UIT Reinvestment Certification

Allstate Financial Services, LLC

Form BD-40

Revised 8/2022

This form must be completed in blue or black ink.

Account number: AFY673029

A Unit Investment Trust (UIT) is a registered product that offers a defined portfolio of securities with an established maturation date upon creation. UIT's are designed to be bought and held until they reach maturity. At maturity, the UIT is liquidated and investors receive their proportionate share of the UIT's net assets. The UIT sponsor may offer a successive "series" of the UIT, which allows for the offering period of the new series of the UIT to coincide with the maturity of the old series. This allows the investor to reinvest in the new series of the UIT, which offers the same objective or strategy as the maturing series. An investor may also reinvest the proceeds from the maturing UIT into a different UIT series. By choosing a long-term strategy to continually reinvest funds from maturing UITs into new series of the same or similar UITs, the investor may incur higher costs than strategies that allow an investor to "hold" the product for a longer term.

Customer Representations:

1. I/We have discussed my current investment objectives, financial profile, and alternative investment options with my/our representative and at this time I/we wish to continue to reinvest the funds of my/our maturing UIT(s) into another UIT(s).
2. I/We understand that upon the maturity of my/our UIT investment, my/our representative will contact me/us to reaffirm my/our decision to reinvest into another UIT.
3. I/We will contact my/our representative if there has been a change in my/our investment objectives, my/our financial profile, or if I/we feel that reinvesting in a new UIT(s) is no longer in my/our best interest.
4. I/We understand that my/our registered representative may receive compensation based on UIT transactions as set forth in the prospectus.
5. I/We understand that by purchasing the UIT, I/we may incur sales charges which my/our representative has discussed with me/us and is also outlined in the transaction confirmations and the prospectus.
6. I/We understand that if purchasing a buffered UIT, a product designed to help investors maintain a level of protection in down markets, the growth is subject to applicable cap rates and the downside buffer provides limited protection against loss. I/We understand that if the UIT is redeemed early, this will impact the cap rates and downside buffer.

Gregory Leonhardt

Customer's Name

GREGORY LEONHARDT

Customer's Signature



Wed, Mar 29, 2023, 7:38 AM

Date

Customer's Name

Customer's Signature

Date

MICHAEL JOHN HARVEY

Writing Representative's Name

Writing Representative's Signature

Date

For additional information regarding Unit Investment Trust, please visit the following websites:

- Securities and Exchange Commission – www.SEC.gov
- Financial Industry Regulatory Authority – www.FINRA.com
- The Securities Industry and Financial Markets Association – www.SIFMA.org
- The Investment Company Institute – www.ICI.org

CONTACT INFO:**OVERNIGHT**

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BD-40

Securities offered by Personal Financial Representatives through Allstate Financial Services, LLC (LSA Securities in LA and PA).
Registered Broker-Dealer. Member FINRA, SIPC. Main Office: 2920 South 84th Street, Lincoln, NE 68506 877.232.2142
Check the background of this firm on FINRA's BrokerCheck website <http://brokercheck.finra.org>

8/2022