

Brokerage Employer-Sponsored Retirement Plan New Account

✓ Use this form to:

- Add Brokerage services to a participant account in a T. Rowe Price-sponsored prototype Individual 401(k) plan.
- Open a Brokerage account for a retirement plan that is not a T. Rowe Price-sponsored prototype plan.

This paper clip indicates you may need to attach documentation.

✗ Do not use this form to:

- Roll over or transfer assets from another eligible retirement plan. Use an [Employer-Sponsored Retirement Plan Invest Participant Rollover Assets](#) form or [Brokerage Transfer](#) form.

Mail to:

T. Rowe Price
P.O. Box 17435
Baltimore, MD 21297-1435

Express delivery only:

T. Rowe Price Mail Code 17435
4515 Painters Mill Road
Owings Mills, MD 21117-4903

1 Employer Information

Complete one form for each plan. **Check one:**

- Individual 401(k) Plan Defined Benefit
 Other Qualified Plan _____

Name of Employer Sponsoring Plan		
Plan Name	Tax ID Number	
Plan Address		
City	State	ZIP Code

2 T. Rowe Price Prototype Plan

If the plan identified in Section 1 is a T. Rowe Price prototype plan, complete this section.

Plan ID:

If you do not currently have a T. Rowe Price prototype plan, attach the completed forms to establish the plan. **NOTE:** Brokerage accounts are not offered for Individual 401(k) plans that allow for Roth contributions.

2A Participant Information

Name*		Citizenship:* <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> U.S. Resident Alien	
Social Security Number (SSN)*	Date of Birth (mm/dd/yyyy)*	Phone	
Residential Street Address (cannot be a P.O. box)*			
City*	State*	ZIP Code*	
E-mail Address			
Mailing Address (if different from residential)			
City	State	ZIP Code	

*NOTE: We are required to have this information in order to open your account and verify your identity pursuant to the USA PATRIOT Act.

Employment—Check one:

- Employed Self-Employed Retired Not Employed

Company Name (if retired/not employed, provide the source of annual income)		
Address		
City	State	ZIP Code
Occupation/Title		Approximate Annual Income

- Check here if your employer requires a duplicate statement, and a statement will be mailed to the above address. A statement will be mailed to the participant address.

2B Affiliations

If you or someone in your household is employed by or associated with T. Rowe Price, a broker-dealer, a municipal securities dealer, a stock exchange, or the Financial Industry Regulatory Authority (FINRA), (collectively, "Financial Services Entities") you must provide the Financial Services Entity's name and address below. In addition, you or the person in your household that is employed or associated with one of the Financial Services Entities, must receive written consent from the Financial Services Entity prior to opening or establishing this account. T. Rowe Price will provide duplicate statements and confirmations to the Financial Services Entity upon request.

Company Name		
Address		
City	State	ZIP Code

If you or an immediate family/household member is a director, a 10% shareholder, or a policymaking executive of a publicly traded company, you must provide the company's name and address below. It is your responsibility to monitor trading to ensure adherence to all applicable trading regulations.

Company Name	
Affiliation	



3 Non-prototype Retirement Plan

If the plan identified in Section 1 is not a T. Rowe Price-sponsored prototype plan, complete this section. The plan must be a qualified plan under Section 401(a) of the Internal Revenue Code. Enclose a copy of the pages of the plan agreement that show the name, address, plan date, and trustees and their signatures. The required disclosure document will be mailed to the employer upon establishment of the account and prior to the purchase of any Brokerage securities.

T. Rowe Price provides only the Brokerage investment account for non-prototype retirement plans and does not provide recordkeeping, tax withholding, or fiduciary tax reporting services.

Exempt Payee

Provide exempt payee code if your organization is an exempt payee for purposes of IRS information reporting. Check IRS Form W-9 for further information and contact a tax advisor to verify this status.

Plan structure—Check one:

- Trustee-directed pooled account.
- Trustee directed for the benefit of (FBO) one participant. Provide the participant information below. To give a participant the right to trade, complete the [Trading Privileges](#) form.

Participant Name		SSN
Mailing Address		
City	State	ZIP Code

- Check here to request that duplicate statements be sent to the participant; otherwise, statements are only mailed to the trustee at the plan address.

3A Trustee Information

Statements are mailed to the trustee at the plan address.

Name*		Citizenship:* <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> U.S. Resident Alien	
SSN*	Date of Birth (mm/dd/yyyy)*	Phone	
Residential Street Address (cannot be a P.O. box)*			
City*	State*	ZIP Code*	
E-mail Address			
Mailing Address (if different from residential)			
City	State	ZIP Code	

*NOTE: We are required to have this information in order to open your account and verify your identity pursuant to the USA PATRIOT Act.

- For more trustees, check this box and attach a [separate page](#).

Employment—Check one:

- Employed Self-Employed Retired Not Employed

Company Name (if retired/not employed, provide the source of annual income)		
Address		
City	State	ZIP Code
Occupation/Title		Approximate Annual Income

- Check here if your employer requires a duplicate statement, and a statement will be mailed to the above address.

3B Affiliations

If you or someone in your household is employed by or associated with T. Rowe Price, a broker-dealer, a municipal securities dealer, a stock exchange, or the Financial Industry Regulatory Authority (FINRA), (collectively, "Financial Services Entities") you must provide the Financial Services Entity's name and address below. In addition, you or the person in your household that is employed or associated with one of the Financial Services Entities, must receive written consent from the Financial Services Entity prior to opening or establishing this account. T. Rowe Price will provide duplicate statements and confirmations to the Financial Services Entity upon request.

Company Name		
Address		
City	State	ZIP Code

If you or an immediate family/household member is a director, a 10% shareholder, or a policymaking executive of a publicly traded company, you must provide the company's name and address below. It is your responsibility to monitor trading to ensure adherence to all applicable trading regulations.

Company Name	
Affiliation	

3C Bank Information

This service allows you to move money from the company bank account to the plan quickly and easily via the Automated Clearing House (ACH) network. EFTs occur when you initiate them.

- Enclose a voided check or preprinted savings deposit slip.** The bank account must be a company account.

- Checking account **or** Savings account

- Instead of submitting a separate check, use the bank account information on the initial investment check enclosed.



4 Trusted Contact

By my signature on this form, I authorize T. Rowe Price Investment Services, Inc. and its affiliates ("T. Rowe Price") to share my account information with the named Trusted Contact person(s) identified below.

I authorize T. Rowe Price, at its discretion, to share information with and/or seek information from the Trusted Contact person(s). This information may include, but is not limited to, any of my information regarding my/our account(s) including contact information for account owners, beneficiaries or persons authorized to act on the account, securities held, conducted or proposed transactions, deposits, disbursements, or other financial products or services offered by or through T. Rowe Price.


I understand that T. Rowe Price may contact the Trusted Contact person(s) if there are questions or concerns about any of the account activity or inactivity, any account owner's whereabouts or health status, (e.g., if T. Rowe Price becomes concerned that I might no longer be able to handle my financial affairs) or in the event that T. Rowe Price becomes concerned that I may be or become a victim of fraud or exploitation.

A Trusted Contact person(s) must be 18 years of age. T. Rowe Price suggests that the Trusted Contact be someone not already authorized to transact business on the account. In addition, T. Rowe Price suggests that I advise the Trusted Contact person(s) that I provided the below information to T. Rowe Price and asks that I keep Trusted Contact person(s) updated.

I understand that there is no requirement that T. Rowe Price contact my Trusted Contact person(s) and that I may withdraw a Trusted Contact at any time online through Account Access, by telephone or in writing. By signing below, I hold T. Rowe Price harmless if T. Rowe Price either acts, or fails to act, based upon T. Rowe Price's best judgment.

Trusted Contact Information

Trusted Contact Name*		
Physical Address (cannot be a P.O. box)		
City	State	ZIP Code
Phone*	Relationship to Owner	
E-mail Address		

- To list an additional Trusted Contact, check this box and attach a [separate page](#). 

*Required fields

The Trusted Contact person will apply to all new and existing T. Rowe Price accounts. If you wish that the Trusted Contact person(s) be only applied to the accounts being opened please call T. Rowe Price.

5 Money Market Sweep Fund

Check one:

- Open a sweep fund in: (if not checked, defaults to U.S. Treasury Money)
 Government Money U.S. Treasury Money
- Settle trades through my existing money market account.

Account Number/Plan ID:

6 Investment Method

Assets will be invested in the money market sweep fund.

6A T. Rowe Price Prototype Plan

Check all that apply.

- Contribution.** Check made payable to T. Rowe Price.

Amount: \$ Tax Year:

Contribution Type:

- Existing plan's T. Rowe Price money market fund.** (Provide in Section 4)
- Exchange from my identically registered T. Rowe Price mutual fund.**

Fund Name	Account Number/Plan ID
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Exchange (check one): All shares Only the amount listed below

Amount (approximate): \$

- Transfer from another institution.** Enclose the [Brokerage Transfer](#) form. 

Amount (approximate): \$

- Rollover from retirement plan to a T. Rowe Price prototype plan.**

Confirm your plan allows rollovers and enclose an [Employer-Sponsored Retirement Plan Invest Participant Rollover Assets](#) form. Enclose security certificates or a check made payable to T. Rowe Price Trust Company. If certificates, provide a copy of your statement showing the redemption. 

Amount: \$

6B Non-prototype Retirement Plan

Check all that apply.

- Contribution.** Check made payable to T. Rowe Price.

Amount: \$

- Exchange from my identically registered T. Rowe Price mutual fund.**

Fund Name	Account Number/Plan ID
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Exchange (check one): All shares Only the amount listed below

Amount (approximate): \$

- Transfer from another institution.** Enclose the [Brokerage Transfer](#) form. 

Amount (approximate): \$

T. Rowe Price Brokerage is a division of T. Rowe Price Investment Services, Inc., member FINRA/SIPC. Accounts are carried by Pershing LLC, a BNY Mellon company, member NYSE/FINRA/SIPC. T. Rowe Price mutual funds not held as positions in your Brokerage account are serviced by T. Rowe Price Services, Inc., and are not carried by Pershing and is not covered by SIPC. Information regarding the Securities Investor Protection Corporation (SIPC®), including an SIPC brochure, may be obtained by contacting SIPC via its website at sipc.org or by phone at (202) 371-8300.



7 Dividend Reinvestment

You can reinvest dividends for certain domestic stocks, listed foreign stocks, and closed-end mutual funds. This service does not apply to open-end mutual funds. Read the Dividend Reinvestment Service Disclosure Statement in the Welcome Handbook. If a box is not checked, dividends will not be reinvested.

NOTE: Certain special dividend payments are paid out according to the default method determined by the paying company.

Check one:

- Reinvest dividends and capital gain distributions for ALL eligible securities.
- Do not reinvest dividends and capital gain distributions (they will go into your money market sweep account).

8 Signatures

NOTE: If you alter this agreement, the account will not be opened.

By signing this form:

- I agree to read and be bound by the terms of the Account Agreements outlined in the Brokerage Account Handbook, which will be sent to me after I open an account and which are incorporated herein. (Call to request a copy in advance.) If I do not understand any provision therein, I will notify T. Rowe Price Investment Services, Inc. (TRPIS).
- I agree to be bound by the terms of the prospectus for each T. Rowe Price fund (Fund) in which I am investing. I have the authority and legal capacity to purchase mutual funds, and am of legal age in my state.
- I authorize Price to debit or credit my money market sweep fund for payment of securities purchased by me or credit to me for securities sold by me. This authorization includes all transactions in my account in the future.
- I authorize TRPIS, the Fund, and their agents to act on any instructions believed to be genuine for any service authorized on this form, including computer/phone services. The Fund and TRPIS use reasonable procedures to verify the identity of the shareholder and the person(s) granted trading privileges, if applicable, when servicing an account by phone. I understand that it is TRPIS' policy to accept transaction instructions from and provide account information to the registered account owner(s) only, unless the account owner(s) has provided written authorization to TRPIS to grant trading privileges to another person. I further understand that it is my responsibility to monitor the activity in my account and not to provide account information, including my online user name and password, to anyone. TRPIS, the Fund, and their agents are not liable for any losses that may occur from acting on unauthorized instructions. All services are subject to conditions set forth in each fund's prospectus.
- I agree that computer/phone exchange services will be automatically activated when my account is opened. If I do not want these services, I will contact TRPIS to terminate service.
- I agree that for joint accounts or other types of accounts owned or controlled by more than one party, "I" refers to each owner/party and that each owner/party has complete authority to act on behalf of all and give instructions concerning the account without notice to the others. TRPIS may, in its sole discretion and for its own protection, require written authorization from all owners/parties to act on the account for certain transactions (for example, to transfer ownership).
- By adding a bank account, I hereby authorize TRPIS to initiate credit and debit entries to the account at the financial institution indicated and for the financial institution to credit or debit the same to such account through the ACH network, subject to the rules of the financial institution, ACH, and the Fund. TRPIS may correct any transaction error with a credit or debit to the financial institution account and/or Fund account. This authorization, including any credit or debit entries initiated thereunder, is in full force and effect until I notify TRPIS of its revocation by phone or in writing and TRPIS has had sufficient time to act on it.

- I understand that, to minimize fund expenses, it is TRPIS' policy to send only one copy of prospectuses, shareholder reports, and other documents (except account confirmations and statements) to all fund shareholders residing at the same address. I also understand that this applies to all existing Fund accounts and any accounts I may open in the future. I consent to this policy, and I understand that I need do nothing now. If I do not consent, I will call TRPIS after my account is opened.
- I authorize TRPIS to obtain consumer credit reports (which contain information including my creditworthiness, credit standing, and credit capacity) and other information to help verify my identity and to determine whether to open my account or, after my account is opened, whether to maintain my account or restrict certain services. If, after making reasonable efforts, TRPIS is unable to verify my identity, TRPIS is authorized to take any action permitted by law, including closing my account and liquidating shares at the current market value. Commission charges will apply to liquidations.
- I understand that if my account has no activity in it for a period of time, TRPIS may be required to transfer it to the appropriate state under abandoned property laws.
- I understand that dividends on my money market sweep fund will be automatically reinvested in the same class of shares.
- Unless I check the box below, TRPIS is required by the Securities and Exchange Commission to provide my name, address, and securities position at the request of the companies whose securities I own.
 - Do not release my name, address, and securities position to the securities issuer.
- I understand that, for my convenience, TRPIS will automatically hold all my securities purchased, transferred, or deposited in street name. If I would prefer to have my account handled otherwise, I will provide written instructions and return them with this form. A nominal fee will be charged to have security certificates registered and shipped to me.
- I certify that the Social Security or taxpayer identification numbers provided on this form are accurate.
- **PREDISPUTE ARBITRATION CLAUSE. I agree to settle by arbitration any controversy between myself and TRPIS; its parent or affiliates; and/or any such officers, directors, employees, agents, or TRPIS clearing broker relating to the Account Agreements, this account, and all accounts with TRPIS or transactions, or in any way arising from my brokerage relationship with TRPIS, whether entered into prior to, on, or subsequent to this date. Such arbitration will be conducted before and according to the arbitration rules of the Financial Industry Regulatory Authority (FINRA), unless the choice of another arbitrator forum is required by applicable state law. I understand that this predispute arbitration clause does not apply to any controversy or transaction involving T. Rowe Price funds unless they are held in my Brokerage Advantage account. This agreement contains a predispute arbitration clause. By signing an arbitration agreement, the parties agree as follows:**
 1. All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
 2. Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
 3. The ability of the parties to obtain documents, witness statements, and other discovery is generally more limited in arbitration than in court proceedings.
 4. The arbitrators do not have to explain the reason(s) for their award unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
 5. The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.



6. The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
7. The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.
8. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action or who is a member of a putative class action who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied, (ii) the class is decertified, or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein.

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

8A T. Rowe Price Prototype Plan

Sign Below

For T. Rowe Price prototype plans, participant signature and plan administrator approval are required.

Signature(s) and Date(s) Required

Participant	Date (mm/dd/yyyy)
X	
Plan Administrator	Date (mm/dd/yyyy)
X	

8B Non-prototype Retirement Plan

Sign Below

Signature(s) and Date(s) Required

Trustee	Date (mm/dd/yyyy)
X	
Co-trustee	Date (mm/dd/yyyy)
X	

For more signatures, copy this page, sign, and enclose.

PRIVACY POLICY

In the course of doing business with T. Rowe Price, you share personal and financial information with us. We treat this information as confidential and recognize the importance of protecting access to it.

You may provide information when communicating or transacting with us in writing, electronically, or by phone. For instance, information may come from applications, requests for forms or literature, and your transactions and account positions with us. On occasion, such information may come from consumer reporting agencies and those providing services to us.

We do not sell information about current or former customers to any third parties, and we do not disclose it to third parties, unless necessary to process a transaction, service an account, or as otherwise permitted by law. We may share information within the T. Rowe Price family of companies in the course of providing or offering products and services to best meet your investing needs. We may also share that information with companies that perform administrative or marketing services for T. Rowe Price; with a research firm we have hired; or with a business partner, such as a bank or insurance company, with whom we are developing or offering investment products. When we enter into such a relationship, our contracts restrict the companies' use of our customer information, prohibiting them from sharing or using it for any purposes other than those for which they were hired.

We maintain physical, electronic, and procedural safeguards to protect your personal information. Within T. Rowe Price, access to such information is limited to those who need it to perform their jobs, such as servicing your accounts, resolving problems, or informing you of new products or services. Finally, our Code of Ethics, which applies to all employees, restricts the use of customer information and requires that it be held in strict confidence.

This Privacy Policy applies to the following T. Rowe Price family of companies: T. Rowe Price Associates, Inc.; T. Rowe Price Advisory Services, Inc.; T. Rowe Price Investment Services, Inc.; T. Rowe Price Trust Company; and the T. Rowe Price Funds.

