



# INVESTOR PROFILE

For assistance in completing this form, please contact the Northern Funds Center at **800-595-9111** weekdays from 7:00 a.m. to 7:00 p.m. Central time. Please mail your form to: Northern Funds, P.O. Box 75986, Chicago, IL 60675-5986.

Please print all information.

## 1 PROVIDE YOUR INVESTOR INFORMATION

### FOR INDIVIDUAL OR JOINT ACCOUNTS:

OWNER'S NAME SOCIAL SECURITY NUMBER

JOINT OWNER'S NAME SOCIAL SECURITY NUMBER

### FOR GIFT/TRANSFER TO A MINOR (UGMA/UTMA):

CUSTODIAN'S NAME

MINOR'S NAME MINOR'S SOCIAL SECURITY NUMBER

### FOR TRUST OR OTHER ENTITY:

TRUST OR ENTITY NAME TAX IDENTIFICATION NUMBER

TRUSTEE OR AUTHORIZED SIGNER NAME CO-TRUSTEE/CO-SIGNER NAME (IF APPLICABLE)

## 2 PROVIDE YOUR ADDRESS

ADDRESS

CITY/STATE/ZIP

TELEPHONE NUMBER (DAYTIME) E-MAIL ADDRESS

## 3 PROVIDE YOUR ACCOUNT INFORMATION

If you are updating your Investor Profile information for existing Northern Funds accounts, please provide the account numbers you want the information to apply to. If your Investment Objective differs by account, please complete a separate Investor Profile Form for each account.

ACCOUNT NUMBER ACCOUNT NUMBER

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## 4 IDENTIFY YOUR ACCOUNT OBJECTIVES

Required for account opening.

### A. NORTHERN FUNDS INVESTMENT OBJECTIVE *(Check one)*

- Maximum Growth  Growth and Moderate Income  Growth and Income  Income and Moderate Growth
- Income  Stable Value and Liquidity

### B. NORTHERN FUNDS RISK TOLERANCE *(Check one)*

- High  Moderate  Low

**OWNER/TRUSTEE/CUSTODIAN**

OWNER'S FIRST NAME \_\_\_\_\_ MIDDLE INITIAL \_\_\_\_\_ LAST NAME \_\_\_\_\_

**A. INVESTMENT HISTORY** *(Check all that apply)*  
 Mutual Funds    Stocks    Bonds    None

**B. EMPLOYMENT**  
 Employed    Unemployed    Retired

\_\_\_\_\_  
 OCCUPATION/PROFESSION

\_\_\_\_\_  
 EMPLOYER/BUSINESS

Check here if you are an associated person of a broker/dealer.

\_\_\_\_\_  
 NAME OF BROKER/DEALER (IF APPLICABLE)

**C. ANNUAL INCOME**  
 Under \$50,000    \$50,001 to \$150,000  
 \$150,001 to \$250,000    \$250,001 or more

**D. NET WORTH** *(excluding your primary home)*  
 Under \$50,000    \$50,001 to \$150,000  
 \$150,001 to \$250,000    \$250,001 or more

**E. INCOME TAX BRACKET**  
 0 to 15%    25% to 28%    33% to 35%    Over 35%

**F.** If you have declined to provide any information in Section 5, please initial here: \_\_\_\_\_

**JOINT OWNER/CO-TRUSTEE**

OWNER'S FIRST NAME \_\_\_\_\_ MIDDLE INITIAL \_\_\_\_\_ LAST NAME \_\_\_\_\_

**A. INVESTMENT HISTORY** *(Check all that apply)*  
 Mutual Funds    Stocks    Bonds    None

**B. EMPLOYMENT**  
 Employed    Unemployed    Retired

\_\_\_\_\_  
 OCCUPATION/PROFESSION

\_\_\_\_\_  
 EMPLOYER/BUSINESS

Check here if you are an associated person of a broker/dealer.

\_\_\_\_\_  
 NAME OF BROKER/DEALER (IF APPLICABLE)

**C. ANNUAL INCOME**  
 Under \$50,000    \$50,001 to \$150,000  
 \$150,001 to \$250,000    \$250,001 or more

**D. NET WORTH** *(excluding your primary home)*  
 Under \$50,000    \$50,001 to \$150,000  
 \$150,001 to \$250,000    \$250,001 or more

**E. INCOME TAX BRACKET**  
 0 to 15%    25% to 28%    33% to 35%    Over 35%

**F.** If you have declined to provide any information in Section 5, please initial here: \_\_\_\_\_

6 SIGN YOUR NAME

All account owners, including custodians and trustees, must sign below. Please sign exactly as your name appears in Step 1.

SIGNATURE \_\_\_\_\_ PRINTED NAME \_\_\_\_\_ DATE \_\_\_\_\_

SIGNATURE \_\_\_\_\_ PRINTED NAME \_\_\_\_\_ DATE \_\_\_\_\_

**FOR INTERNAL USE ONLY**

REPRESENTATIVE'S SIGNATURE \_\_\_\_\_ PRINTED NAME \_\_\_\_\_ DATE \_\_\_\_\_

EMPLOYEE ID \_\_\_\_\_ BANK LOCATION \_\_\_\_\_ DEPT./DIVISION \_\_\_\_\_ PHONE NUMBER \_\_\_\_\_

VERIFIED BY PHONE \_\_\_\_\_  
 DATE \_\_\_\_\_ TIME \_\_\_\_\_

**IDENTIFICATION VERIFICATION**

INVESTOR'S NAME \_\_\_\_\_

DRIVER'S LICENSE/PASSPORT NUMBER \_\_\_\_\_ PLACE OF ISSUANCE \_\_\_\_\_ DATE OF ISSUANCE \_\_\_\_\_ EXPIRATION DATE \_\_\_\_\_

OTHER \_\_\_\_\_

INVESTOR'S NAME \_\_\_\_\_

DRIVER'S LICENSE/PASSPORT NUMBER \_\_\_\_\_ PLACE OF ISSUANCE \_\_\_\_\_ DATE OF ISSUANCE \_\_\_\_\_ EXPIRATION DATE \_\_\_\_\_

OTHER \_\_\_\_\_