



# New Account Application

## 1. Instructions

Questions?  
1-800-225-6704

**Please complete this form then sign and mail it to us.**

- Please do not use this application to open an IRA account.
- Additional documentation may be required. Please include additional documents as applicable.
- **Make check payable to: Northeast Investors Trust**
- **The Trust does not accept third party or starter checks.**

**Regular Mail:** Northeast Investors Trust, 125 High Street, Suite 1802, Boston MA 02110

## 2. Account Type *Choose one*

Please attach a Transfer on Death (TOD) form if you wish to designate TOD beneficiaries on your account.

**Individual**

\_\_\_\_\_  
Primary Owner's Name

\_\_\_\_\_  
Social Security No.

\_\_\_\_\_  
Date of Birth

**Joint**

*Account will be registered as "Joint Tenants With Rights of Survivorship" unless you specify a different type of joint registration below, e.g. Tenants in Common.*

Joint Account Registration Type: \_\_\_\_\_

\_\_\_\_\_  
Primary Owner's Name

\_\_\_\_\_  
Social Security No.

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Joint Owner's Name

\_\_\_\_\_  
Social Security No.

\_\_\_\_\_  
Date of Birth

**Gift/Transfer to Minor Act (UGMA/UTMA)**

\_\_\_\_\_  
Custodian's Name

\_\_\_\_\_  
Social Security No.

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Minor's Name

\_\_\_\_\_  
Social Security No.

\_\_\_\_\_  
Date of Birth

**Trust**

\_\_\_\_\_  
Trustee Name (First, Middle Initial, Last)

\_\_\_\_\_  
Social Security No.

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Trustee Name (First, Middle Initial, Last)

\_\_\_\_\_  
Social Security No.

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Name of Trust

\_\_\_\_\_  
Date of Trust

\_\_\_\_\_  
Tax Identification No.

**You must attach** a copy of the title and signature pages of the trust agreement and include documentation that identifies who is authorized to act on behalf of the trust.

## 2. Account Type *continued*

You must attach organization documents and evidence of authority to act, e.g. corporate resolutions.

Corporation     Partnership     Estate     LLC     Other Entity

\_\_\_\_\_  
Authorized Individual (First, Middle Initial, Last)

\_\_\_\_\_  
Authorized Individual (First, Middle Initial, Last)

\_\_\_\_\_  
Name of Corporation, Partnership, Estate, Limited Liability Company, or Other Entity

\_\_\_\_\_  
Date of Organization

\_\_\_\_\_  
Tax Identification No.

## 3. Street Address *We cannot open an account with a P.O. Box. See Section 4 for Mailing Address*

\_\_\_\_\_  
Street Address of Primary Owner, Custodian, Trustee, or Business

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip Code

\_\_\_\_\_  
Street Address of Joint Owner, Co-Trustee or Minor *(if different from Primary Street Address)*

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip Code

## 4. Contact Information *Pertains to Primary Account Owner*

\_\_\_\_\_  
Home Phone Number

\_\_\_\_\_  
Cell Phone Number

\_\_\_\_\_  
Email Address

Check here if Mailing Address is the same as Primary Owner's Street Address above.

\_\_\_\_\_  
Mailing Address - *P.O. Box is acceptable*

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip Code

## 5. Investment

**Minimum Amount:**  
**\$1,000**

Distributions will be reinvested in additional shares of the Trust unless you check the box to receive cash distributions.

**Northeast Investors Trust**

**Investment Amount**

**Cash Distributions**

## 6. Cost Basis

If unsure which method is best for you, please consult a qualified tax professional to determine which cost basis method is appropriate for your specific tax situation.

Your cost basis election will be used for calculating the gain or loss on sales of shares acquired on or after January 1, 2012. If no election is made, Northeast Investors Trust will apply the Average Cost default method to your account.

**Check one box:**

- |  |   |
|--|---|
| <input type="checkbox"/> Average Cost  | <input type="checkbox"/> High Cost First Out (HIFO) |
| <input type="checkbox"/> First In First Out (FIFO)   | <input type="checkbox"/> Last In First Out (LIFO)   |
| <input type="checkbox"/> Specific Lot Identification (SLID) (redemptions will be considered 'Not in Good Order' unless specific lots are identified) |   |

## 7. Consent for e-Delivery

**You must provide** your email address in [Section 4](#).

If you elect e-delivery, you will receive a notification to the email address provided in [Section 4](#) informing you when a document or a transaction is available for viewing at [www.northeastinvestors.com](http://www.northeastinvestors.com).

You may view, change or revoke your e-delivery preferences by logging into Northeast Investors Trust's online account access at [www.northeastinvestors.com](http://www.northeastinvestors.com) and clicking My Profile. You can edit your email address using the Account Maintenance tab.

**Document Types for e-Delivery:**

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> Prospectus and Shareholder Reports | <input type="checkbox"/> Tax Forms           | <input type="checkbox"/> Trade Confirmations   |
| <input type="checkbox"/> Proxy Materials                    | <input type="checkbox"/> Year-End Statements | <input type="checkbox"/> Dividend Transactions |

## 8. Bank Information *Optional*

**You must attach** an investment check or a voided check with pre-printed routing and account numbers.

Complete this section if you would like to establish banking information and electronic transfers to and from your bank account for additional purchases, redemptions and dividend distributions. If you would like to add a bank account that is different from the bank account listed on your investment check, you must attach a voided check. We will not accept starter checks or mutual fund money market checks.

- Copy the information from my investment check.  
 Copy the information from my voided check.

## 9. Automatic Investment Plan (AIP) *Optional*

If you wish to establish more than one AIP, please complete the AIP form.

Complete this section and [Section 8](#) to add this option. AIP allows you to purchase shares into your account on a periodic basis automatically by electronic transfer from your bank account. Transactions will occur on the day and month specified below. When choosing a payment frequency below, please allow at least 10 business days from receipt of this form for the plan to be effective.

\_\_\_\_\_  
Amount of AIP

Transaction should occur on the \_\_\_\_\_ day of the month.

- All Months **or**  Jan  Feb  Mar  Apr  May  Jun  Jul  Aug  Sep  Oct  Nov  Dec

## 10. Signature(s) Required

By signing this form I agree that:

I (We) am (are) of legal age in my (our) state of residence and I (we) understand and agree that this application is subject to acceptance by Northeast Investors Trust and that the terms of the prospectus shall be considered a part of this application. I (We) acknowledge receipt of the Northeast Investors Trust privacy policy. **Under penalties of perjury, I (we) certify (1) that the social security number or tax identification number shown is correct, (2) I (we) am (are) a U.S. person (including a U.S. resident alien) and (3) that I (we) am (are) not subject to backup withholding because I (we) have not been notified that I (we) am (are) subject to backup withholding or the Internal Revenue Service has notified me (us) that I (we) am (are) no longer subject to backup withholding. (Note: If part 3 of this sentence is not true in your case, please strike out that part before signing. The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.**

I (we) certify that the information provided on this application is true and accurate. I (we) represent that I (we) have full authority and legal capacity to purchase Trust shares and establish and use any related privileges. I (we) have received and read the Northeast Investors Trust Prospectus and/or the Summary Prospectus (available at [Northeastinvestors.com](http://Northeastinvestors.com)) and believe that the investment is suitable for me (us). I (we) understand the investment objectives and policies of the Trust and agree to be bound by the terms of the Prospectus. I (We) agree that Northeast Investors Trust will not be liable for any loss, cost or expense for acting upon any instruction believed by it to be genuine and in accordance with the procedures described in the prospectus. By completing **Section 8** I (we) hereby authorize the Trust to initiate credits and/or debits to my (our) account indicated in **Section 8** and for the bank to honor all entries to my (our) account.

### IMPORTANT INFORMATION ABOUT ESCHEAT LAWS

If no activity occurs in your account within the timeframe specified by the law in your state and/or if account statements mailed to you are returned as undeliverable during that timeframe, the ownership of your account may be transferred to your state. We strongly encourage all Trust shareholders to contact us via phone or log into your account online at least once each year to review your account information. It is also important to inform the Trust promptly of any significant events such as name or address changes.

### IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT:

Please be advised that federal law requires all financial institutions, including mutual funds, to obtain, verify and record information that identifies each person who opens an account. What this means for you: In order to open an account, the Trust will ask you to provide certain identifying information on this account application, including your full name, address, date of birth and social security number or taxpayer identification number. If you fail to provide the appropriate information, we may reject your application and all monies received to establish your account will be returned to you. As a result, it is very important that this application be filled out completely in order to establish an account. After your account is established, the Trust is required to take steps to verify your identity. These actions may include checking your identifying information against various databases. Until you provide the requested information and we have verified your identity we may be unable to open an account for you or to effect any transaction on your behalf.

Sign below exactly as your name(s) appear in **Section 2**.

All owners, including joint owners and trustees, excluding minors must sign.

_____ Signature	_____ Title (if applicable)	_____ Date
_____ Signature	_____ Title (if applicable)	_____ Date
_____ Signature	_____ Title (if applicable)	_____ Date
_____ Signature	_____ Title (if applicable)	_____ Date

RETAIN A COPY OF THIS COMPLETED FORM FOR YOUR RECORDS

**NORTHEAST INVESTORS TRUST  
PRIVACY POLICY NOTICE**

Northeast Investors Trust (the ‘Trust’) recognizes and respects the privacy of its shareholders and to that end is committed to safeguarding your personal information.

**Why do we collect personal information?** The Trust collects, retains and uses shareholder information for the purpose of administering its operations, providing shareholder service, and complying with legal and regulatory requirements.

**How do we collect personal information?** The Trust collects personal information during the account opening process. The Trust will collect and share (if necessary) name, street address, social security number and date of birth. The Trust will also collect personal information from sources such as: oral conversations with shareholders; correspondence from shareholders including email or other electronic communication; bank account information; and information from other forms or documents. We make every effort to maintain the most up to date, complete and accurate shareholder and account information. If you believe any information is inaccurate please call us at 800-225-6704. We will investigate the problem, and if it is determined that the information is incorrect, we will take appropriate action quickly and according to industry practices and applicable law.

**How does the Trust protect personal information?** Shareholder information is accessible only by authorized individuals or as set forth below. Our employees are responsible to protect the confidentiality of shareholder information and are subject to appropriate disciplinary measures to enforce that responsibility. Policies and procedures have been established to restrict access to personal information to a “need to know” basis for those performing account services or preparing shareholder communications.

The Trust maintains appropriate safeguards regarding shareholders information. This includes use of security procedures to prevent revealing shareholder information to inappropriate or unauthorized sources. These measures also include computer safeguards and secured files and buildings.

**Does the Trust share personal information?** We do not sell shareholder information to anyone, nor do we exchange or share shareholder information with outside organizations unless the third party is essential in administering our operations; this sharing is permitted by law and cannot be limited by shareholders. For example, we work with our custodian bank, State Street Bank & Trust Company, to assist in providing payments to shareholders. The Trust does not reveal specific information about shareholders or their accounts to unaffiliated third parties with the following exceptions:

1. If the shareholder requests it;
2. If the information is required by or allowed by law (for example, a subpoena or court order to produce records regarding the shareholder’s account with the Trust). In such instances, information provided is limited to that required by the specific law;
3. If the information is required by a Trust auditor or examiner for the purpose of completing an audit or regulatory examination of the Trust;
4. To make available products or services to us, such as computer programming services, but excluding marketing activities, that are offered by a third party who is under agreement to provide these services. These companies or vendors must agree to respect the privacy of any shareholder information provided and will be authorized to use such information only to perform the services required by the Trust.

These policies also apply, to the extent applicable, to persons who visit our website and provide us with any personal information other than their name, address and general area of investment interest.

**Changes to the Privacy Policy:** As required by law, the Trust will provide its shareholders with its privacy policy on an annual basis. The Trust may update or revise its privacy policy and will post the revised privacy policy on its website, [www.northeastinvestors.com](http://www.northeastinvestors.com).