



1002 O'Reilly Avenue, San Francisco, CA 94129  
 T: 415.561.3900 | F: 415.561.3919  
 rsfsocialfinance.org

# INVESTMENT NOTE APPLICATION

## Social Investment Fund

### I. Tell Us About You

NAME OF INVESTOR (INDIVIDUAL, ORGANIZATION, CUSTODIAN, OR TRUST)		SSN/TAX ID (REQUIRED)	
JOINT INVESTOR (IF ANY) OR TRUSTEE		DATE OF BIRTH	
STREET ADDRESS	CITY	STATE *	ZIP
EMAIL (REQUIRED FOR ONLINE ACCOUNT ACCESS)	HOME PHONE	MOBILE PHONE	

- Yes, I consent to receiving my quarterly statement/renewal notice electronically.
- Yes, I consent to receiving all other documents regarding my investment, including the Prospectus, electronically.
- I understand that if I consent to receive documents regarding my investment electronically, RSF Social Investment Fund will not mail paper copies of these documents unless I submit a written request for paper delivery.

Documents sent electronically will be sent to the email address you provided above. You can change or add another email address by logging into the online portal and updating the information in My Profile or reaching out to SIF@rsfsocialfinance.org.

Identify the individuals who are authorized to transact business relating to this investment:

- JOINT INVESTOR
- AUTHORIZE ONLINE ACCESS

NAME	RELATIONSHIP (ADVISOR, FAMILY, ACCOUNTANT, ETC.)	EMAIL

AUTHORIZE ONLINE ACCESS

HOW DID YOU HEAR ABOUT US?

**IMPORTANT NOTICE—THE USA PATRIOT Act.** Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. When you purchase a Note we will verify the following information: your name, address, date of birth, and potentially other identifying information.

\* The Fund is not currently authorized to offer or sell securities to residents of the following states: Arkansas, Indiana, Kentucky, Missouri, Ohio, and Washington. Residents of these states should not complete this investment application, and should disregard the Prospectus.

Notice to Pennsylvania residents: Please refer to pages iv and v of the Prospectus for information concerning your right to withdraw your acceptance of your purchase of Notes.

### II. Investment Instructions

Complete this application and mail it with a check in the amount of your investment to:

**RSF Social Investment Fund, Inc.**  
 1002 O'Reilly Avenue  
 San Francisco, CA 94129-0915

If you wish to wire your investment or send the funds by ACH, please contact Mark Herrera for instructions at 415.561.6160 or mark.herrera@rsfsocialfinance.org.

Once your application has been accepted and funds secured, RSF will create an Investment Note account in your name.

The Fund pays interest on the Note at the published rate in effect during the quarter in which your investment is accepted. The interest rate is reset on the first day of each calendar quarter.

For an in-depth description of the Fund, review the latest Prospectus on the RSF website or via:

<https://rsfsocialfinance.org/2018-prospectus>

Amount of initial investment (\$1,000 minimum)      \$ \_\_\_\_\_

Payment method  
 .....

What would you like us to do with the interest earned on your investment?

- Accrue it and add it to my investment balance.
- Pay it to me each quarter.

If you do not make a selection, the interest will accrue.

.....

Would you like any portion of the interest to be gifted to RSF to support its work?

- Yes, gift 100% of interest earned to support RSF's charitable work.
- Yes, gift 50% of interest earned to support RSF's charitable work.

Earnings gifted to RSF are charitable donations and may be tax deductible.

### III. Maturity of Investment Note

Your Note will mature at the calendar quarter end that follows the date on which we receive and accept your investment. At maturity, your Note will automatically renew for an additional three-month term unless we receive your request for repayment 30 days after the maturity date. However, we request that you provide the Fund with 30 days' notice before the maturity date to facilitate the redemption process.

### IV. Certification and Signature

Before you sign this Application, you must have received and had the opportunity to read the Prospectus for the Fund. There are significant risks to investing in the Fund. These risks are outlined in the Prospectus under the heading "Investment Risk Factors."

Representatives of the Fund will be glad to answer any questions you have and to provide any additional information that you need to make an informed investment decision.

#### Primary Contact:

Mark Herrera  
Senior Manager, Client Engagement  
mark.herrera@rsfsocialfinance.org  
415.561.6160

In order to assist RSF in planning for its lending program, we invite you to indicate a nonbinding commitment to keep your investment with the Fund.

Yes, I intend to keep my investment with RSF for \_\_\_\_\_ years from the date of application.

By signing below, each undersigned investor ("Investor") agrees to purchase the Note indicated by the information inserted above on the terms and subject to the conditions stated in the Fund's current Prospectus and any supplements thereto, each of which Investor represents Investor has received or reviewed.

Investor certifies that each Investor is a resident of the state identified on this form. Under penalty of perjury, each Investor further certifies that: (1) the taxpayer identification number shown for each individual or entity is correct, (2) each Investor is not subject to backup withholding, and (3) each Investor is a U.S. citizen or a U.S. resident alien. If the correct TIN is not supplied, the Fund is required to withhold 28% of interest and/or redemption funds. The IRS does not require your consent to any provision of this document other than certifications to avoid backup withholding.

If signing as joint tenants, the undersigned agree to be jointly and severally liable under this application. If signing on behalf of a trust, the undersigned certifies that Investor is duly authorized: (i) to purchase the Note on behalf of such entity, and (ii) to execute this application. The Investor authorizes the Fund to act upon the instructions and directions of any authorized signer in all matters, including renewals, redemption, and transfer requests. This application is subject to acceptance by RSF Social Investment Fund, Inc. in San Francisco, California.

### V. Bank Transfer (ACH)

ACCOUNT HOLDER NAME

ROUTING NUMBER

ACCOUNT NUMBER

#### Account type:

- INDIVIDUAL CHECKING
- INDIVIDUAL SAVINGS
- BUSINESS CHECKING

#### Recurring Contributions

Make automatic monthly or quarterly contributions to your Social Investment Fund to grow your initial investment.

RECURRING AMOUNT

Frequency:

- MONTHLY
- QUARTERLY

*Investor authorizes Rudolf Steiner Foundation, Inc. ("RSF") or its controlled entity to debit the account listed for investment contributions. Once we receive your application we will "pre-note" or verify your bank information with your financial institution. This may take 10-calendar days to complete. This automatic payment authorization does not change the terms of your agreement.*

#### Investor

SIGNATURE

PRINT NAME (CUSTODIAN, TRUSTEE, CORPORATE OFFICER, ETC.)

DATE

By signing this application jointly, the Investors agree to purchase the Note as joint tenants with right of survivorship so that, in case of the death of any Investor, the Note shall become the property of the surviving Investor. Contact Mark Herrera to designate a beneficiary.

Your investment in the RSF Social Investment Fund, Inc. will be used to make loans to mission-aligned enterprises.

Invest. Give. Get Funding.