

## PIMCO Funds

## CLASS A AND CLASS C SHARES

**Contact Information:**

Phone: 800.426.0107

Website: www.pimco.com

**Direct Mail:**

PIMCO Funds

P.O. Box 219294

Kansas City, MO 64121

**Overnight Mail:**

PIMCO Funds

801 Pennsylvania Avenue, Ste 219294

Kansas City, MO 64105-1307

This application is for any Qualified Plan that would like to use the PIMCO Funds on an investment only basis. No Third Party Administrator or Recordkeeper will be provided. You may select either Class A or Class C shares.

A financial advisor can help evaluate your financial planning needs and help set your investment objectives. Please work with a financial advisor to open your account and provide their information under the Dealer Information section of this form. PIMCO Investments LLC is a limited-purpose broker-dealer and does not provide brokerage services or any financial advice.

All checks must be made payable to "PIMCO Family of Funds" and sent with this application. PIMCO Funds does not accept payments by cash, temporary/starter checks, credit cards, traveler's checks, credit card checks, money orders, checks drawn on non-U.S. banks (even if payment may be effected through a U.S. bank), foreign checks or debit card.

**Important Information About Opening a New Account**

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify and record information that identifies each investor who opens an account.

**What this means for you:** When you open an account, we will ask for documents and information that will allow us to identify you and your organization. In order to process your application, you must complete all sections of the form.

**1. Account Registration****A. ☐ Plan/Trust Account**

Name of Employer/Organization/Plan Sponsor \_\_\_\_\_

Type of Account \_\_\_\_\_

(401(k), Profit Sharing, etc.)

Name of Trustee/Custodian \_\_\_\_\_

Name of Plan/Trust \_\_\_\_\_

Date of Plan/Trust (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

For the Benefit of \_\_\_\_\_

(e.g., 401(k) Plan Participants)

Tax Identification Number of the Plan/Trust \_\_\_\_\_

(If no TIN for the plan/trust has been established, please provide the TIN for the employer.)

Mailing Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Name/Title of Contact Person \_\_\_\_\_

Telephone Number ( ) \_\_\_\_\_

*Investors should consider the investment objectives, risks, charges and expenses of the funds carefully before investing. This and other information are contained in the fund's prospectus and summary prospectus, if available, which may be obtained by contacting your financial advisor or PIMCO representative or by visiting pimco.com. Please read them carefully before you invest or send money.*

**PIMCO Investments LLC**, distributor, 1633 Broadway, New York, NY, 10019 is a company of PIMCO.

*\*A copy of the documents legally authorizing all signors for the Plan/Trust must accompany this application, including names of trustees or plan fiduciaries, trustee or plan fiduciary powers and signature page of the Trust/Plan Agreement.*

## 1. Account Registration *(continued)*

### B. ☐ Employee/Participant Account – If Applicable (Complete Section A and B)

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

Date of Birth (mm/dd/yyyy) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ Social Security Number \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

☐ U.S. Citizen ☐ Resident Alien ☐ Other \_\_\_\_\_

Group Plan Number (if established) \_\_\_\_\_

Mailing Address \_\_\_\_\_

(If you provide a P.O. Box, you must fill out Physical Address below)

Suite/Apt. No. \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Daytime Telephone Number ( ) \_\_\_\_\_

Additional Telephone Number (Optional) ( ) \_\_\_\_\_

Physical Address \_\_\_\_\_

(Required if different from above)

Suite/Apt. No. \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

## 2. Trusted Contact Information

In conjunction with new FINRA Rule 2165 and amendments to FINRA Rule 4512, that became effective on February 5, 2018, we are seeking to obtain the name and contact information for a “trusted contact” person for shareholder accounts. We could reach out to the “trusted contact” if, for example, we were unable to contact you after multiple attempts, or if you became subject to a disability, or we had reason to believe that you were being abused or exploited by a third party.

If you choose to provide information about a trusted contact person, you agree that the trusted contact you have listed below may be contacted by the firm about your account. You are also agreeing that the firm, or an associated person of the firm, is authorized to contact the trusted contact, and disclose information about your account, to address possible financial exploitation, to confirm the specifics of your current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by FINRA Rule 2165. You are not required to provide a trusted contact person to us.

Please note, assigning a trusted contact does not give the trusted contact any discretionary authority over your account; accordingly, the individual you list, on the basis of being listed as a trusted contact, will not be able to make purchases, effectuate sales or disbursements, or conduct any other activity.

Trusted Contact Name \_\_\_\_\_ Relationship to Owner \_\_\_\_\_

Home Phone Number ( ) \_\_\_\_\_ Cell Phone Number ( ) \_\_\_\_\_

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

Mailing Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

### 3. Dealer Information

In order to establish an account, a financial advisor is required to be listed below. A financial advisor can help evaluate your financial planning needs and help set your investment objectives. **PIMCO Investments LLC is a limited-purpose broker-dealer and does not provide brokerage services or any financial advice.**

Dealer Name \_\_\_\_\_

Representative's Name (First, Middle Initial, Last) \_\_\_\_\_

Rep ID Number \_\_\_\_\_ Representative's Branch Office Number \_\_\_\_\_

Branch Office Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Telephone Number (        ) \_\_\_\_\_

#### Dealer Home Office Address:

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Telephone Number (        ) \_\_\_\_\_

### 4. Third Party Administrator – Recordkeeper (if applicable)

Third Party Administrator Name (Recordkeeper) \_\_\_\_\_

Third Party Administrator Number \_\_\_\_\_

Name \_\_\_\_\_

Street Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Telephone Number (        ) \_\_\_\_\_

5. Fund Selection(s)

List the fund and class of shares you are purchasing and indicate the amount or percentage to be invested per fund. A complete list of funds is available at the end of this account application. (See "Classes of Shares" and "Purchases, Redemptions and Exchanges" in the prospectus for detailed information on each share class.)

Individual participant accounts have a minimum investment of \$1,000 per fund.

All dividends and capital gains will be automatically reinvested.

Fund name and share class	Fund ticker / Fund number	Investment amount <sup>1</sup>
1. _____	_____	\$ _____ or _____ %
2. _____	_____	\$ _____ or _____ %
3. _____	_____	\$ _____ or _____ %
4. _____	_____	\$ _____ or _____ %
5. Other: _____	_____	\$ _____ or _____ %
		TOTAL: \$ _____ or _____ %

If you have additional selections, attach a separate page that includes all of the information requested above. Sign and date the page.

<sup>1</sup> Class A shares are an initial sales charge alternative, while class C shares are an asset-based sales charge alternative. For class A shares, you may be eligible for breakpoint discounts based on the size of your purchase, current holdings or future purchases. Please refer to PIMCO Funds Important Investor Information Regarding Breakpoints below, the PIMCO Funds prospectuses and statements of additional information or contact your financial advisor for further information.

<sup>2</sup> If entering percentages please be sure to only include full percentage accounts. The percentages must equal 100%.

6. Telephone Exchange Privileges

Please accept or decline the right to transact exchanges via the telephone by the Plan Trustee or financial advisor on the account:

☐ Accept      ☐ Decline

Telephone redemption privileges are not available on qualified plan accounts.

If you do not decline the telephone privileges above, PIMCO Funds may accept telephone instructions from any person identifying himself or herself as the Plan Trustee or the financial advisor on the account, provided that PIMCO Funds follows reasonable procedures and believes the instructions to be genuine. Thus, you risk possible losses in the event of an unauthorized telephone exchange. Please read the prospectus regarding redemption procedures, including signature validation requirements. All redemptions from a qualified retirement plan must be received in writing.

## 7. Signature(s) and Certification

I/We understand that the Plan account will be automatically subject to telephone exchange privileges unless I/we restrict such privileges in the Telephone Exchange Privileges section above and that SS&C Global Investor & Distribution Solutions, Inc. and PIMCO Funds and their affiliated persons and service providers shall not be liable for any loss incurred by me or the Plan by reason of accepting unauthorized telephone requests for my Plan account. The undersigned certify(ies) that I/we have full authority and, if a natural person, I/we am (are) of legal age to purchase shares pursuant to this application, have received a current prospectus and agree to be bound by its terms. Further, I/we understand that I/we may choose between two share classes. I/we am (are) aware of the fee structures for the two share classes and have selected the class best suited to my (our) investment objectives. I/we further understand that I/we may not exchange from one class to another. A copy of the current prospectus(es) can be accessed at pimco.com. Additionally, the undersigned agree(s) that I/we will access and review an applicable then current prospectus for any additional PIMCO Funds that I/we may purchase in the future prior to completing any purchase of each such PIMCO Funds and in each case agree(s) to be bound by all of the terms, conditions and account features in each then applicable prospectus.

**Under the penalties of perjury, I certify that: (i) the number shown in the Account Registration section on Page 1 is the Plan's current Social Security/Tax Identification number and/or my correct Social Security Number or Government Issued ID number, or I have applied, or will apply, for such a number and will provide it within sixty (60) days after signing this application (if I don't supply such number within sixty (60) days, the Plan will be subject to withholding tax), and (ii) the Plan is not subject to backup withholding because the IRS (a) has not notified the Plan that the Plan is subject to backup withholding as a result of failure to report all interest or dividends, or (b) has rescinded a previously imposed backup withholding requirement.** I/We understand that in accordance with applicable state regulations, this account balance may be transferred to the appropriate state if no activity occurs in the account within the time period specified by state law. I/We represent I/we understand that one copy of prospectuses and annual/semiannual reports will be mailed to a single household ("householding"), thereby eliminating wasteful duplication, and a household is defined as two or more investors with the same last name and address. [ ☐ ] Check here if you do not want your account to be combined with others in your household. **I am aware that if the Social Security or Tax Identification number I have provided is incorrect, the Plan is subject to backup withholding. If you are subject to backup withholding, please cross out number (ii) above. The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.**

Sign exactly as the account is to be registered:

Signature of Plan Trustee X \_\_\_\_\_ Date \_\_\_\_\_

Print Name \_\_\_\_\_

Signature of Plan Trustee X \_\_\_\_\_ Date \_\_\_\_\_

Print Name \_\_\_\_\_

Signature of Employee/Participant X \_\_\_\_\_ Date \_\_\_\_\_

(If applicable)

Print Name \_\_\_\_\_

## PIMCO Class A and Class C Shares Fund List and Identifiers

FUND NAME	CLASS	TICKER	FUND NUMBER
PIMCO All Asset All Authority Fund	Class A	PAUAX	4019
PIMCO All Asset All Authority Fund	Class C	PAUCX	4219
PIMCO All Asset Fund	Class A	PASAX	4018
PIMCO All Asset Fund	Class C	PASCX	4218
PIMCO California Intermediate Municipal Bond Fund	Class A	PCMBX	4038
PIMCO California Intermediate Municipal Bond Fund	Class C	PCFCX	4238
PIMCO California Municipal Bond Fund	Class A	PCTTX	6040
PIMCO California Municipal Bond Fund	Class C	PCTGX	6240
PIMCO California Short Duration Municipal Income Fund	Class A	PCDAX	4117
PIMCO Climate Bond Fund	Class A	PCEBX	8087
PIMCO Climate Bond Fund	Class C	PCECX	8287
PIMCO CommoditiesPLUS® Strategy Fund	Class A	PCLAX	6016
PIMCO CommoditiesPLUS® Strategy Fund	Class C	PCPCX	6216
PIMCO CommodityRealReturn Strategy Fund®	Class A	PCRAX	4049
PIMCO CommodityRealReturn Strategy Fund®	Class C	PCRCX	4249
PIMCO Credit Opportunities Bond Fund	Class A	PZCRX	6033
PIMCO Credit Opportunities Bond Fund	Class C	PCCRX	6233
PIMCO Diversified Income Fund	Class A	PDVAX	4033
PIMCO Diversified Income Fund	Class C	PDICX	4233
PIMCO Dividend and Income Fund	Class A	PQIZX	6036
PIMCO Dividend and Income Fund	Class C	PQICX	6236
PIMCO Dynamic Bond Fund	Class A	PUBAX	4086
PIMCO Dynamic Bond Fund	Class C	PUBCX	4286
PIMCO Emerging Markets Bond Fund	Class A	PAEMX	4001
PIMCO Emerging Markets Bond Fund	Class C	PEBCX	4201
PIMCO Emerging Markets Currency and Short-Term Investments Fund	Class A	PLMAX	4029
PIMCO Emerging Markets Local Currency and Bond Fund	Class A	PELAX	4032
PIMCO Emerging Markets Local Currency and Bond Fund	Class C	PELCX	4232
PIMCO ESG Income Fund	Class A	PEGAX	8090
PIMCO ESG Income Fund	Class C	PEGBX	8290
PIMCO Global Advantage® Strategy Bond Fund	Class A	PGSAX	4087
PIMCO Global Bond Opportunities Fund (U.S. Dollar-Hedged)	Class A	PAIIX	4011
PIMCO Global Bond Opportunities Fund (U.S. Dollar-Hedged)	Class C	PCIIX	4211
PIMCO Global Core Asset Allocation Fund	Class A	PGMAX	4090
PIMCO Global Core Asset Allocation Fund	Class C	PGMCX	4290
PIMCO GNMA and Government Securities Fund	Class A	PAGNX	4055
PIMCO GNMA and Government Securities Fund	Class C	PCGNX	4255
PIMCO Government Money Market Fund	Class A	AMAXX	4099
PIMCO Government Money Market Fund	Class C	AMGXX	4299
PIMCO High Yield Fund	Class A	PHDAX	4006
PIMCO High Yield Fund	Class C	PHDCX	4206
PIMCO High Yield Municipal Bond Fund	Class A	PYMAX	4025
PIMCO High Yield Municipal Bond Fund	Class C	PYMCX	4225
PIMCO High Yield Spectrum Fund	Class A	PHSAX	6020
PIMCO High Yield Spectrum Fund	Class C	PHSCX	6220
PIMCO Income Fund	Class A	PONAX	4021
PIMCO Income Fund	Class C	PONCX	4221
PIMCO Inflation Response Multi-Asset Fund	Class A	PZRMX	6034
PIMCO International Bond Fund (Unhedged)	Class A	PFUAX	4042
PIMCO International Bond Fund (Unhedged)	Class C	PFRCX	4242
PIMCO International Bond Fund (U.S. Dollar-Hedged)	Class A	PFOAX	4007
PIMCO International Bond Fund (U.S. Dollar-Hedged)	Class C	PFOCX	4207
PIMCO Investment Grade Credit Bond Fund	Class A	PBDAX	4051
PIMCO Investment Grade Credit Bond Fund	Class C	PBDCX	4251
PIMCO Long Duration Total Return Fund	Class A	PLRAX	8084
PIMCO Long Duration Total Return Fund	Class C	PLRCX	8204
PIMCO Long-Term U.S. Government Fund	Class A	PFGAX	4003
PIMCO Long-Term U.S. Government Fund	Class C	PFGCX	4203
PIMCO Low Duration Credit Fund	Class A	PSRZX	6026
PIMCO Low Duration Credit Fund	Class C	PSRWX	6226
PIMCO Low Duration Fund	Class A	PTLAX	4004
PIMCO Low Duration Fund	Class C	PTLCX	4204
PIMCO Low Duration Income Fund	Class A	PFIAX	4041
PIMCO Low Duration Income Fund	Class C	PFNCX	4241
PIMCO Low Duration Opportunities Fund	Class A	ATMAX	6001
PIMCO Low Duration Opportunities Fund	Class C	ATMCX	6201
PIMCO Mortgage Opportunities and Bond Fund	Class A	PMZAX	6044
PIMCO Mortgage Opportunities and Bond Fund	Class C	PMZCX	6244

## PIMCO Class A and Class C Shares Fund List and Identifiers *(continued)*

FUND NAME	CLASS	TICKER	FUND NUMBER
PIMCO Municipal Bond Fund	Class A	PMLAX	4012
PIMCO Municipal Bond Fund	Class C	PMLCX	4212
PIMCO National Intermediate Municipal Bond Fund	Class A	PMNTX	6041
PIMCO National Intermediate Municipal Bond Fund	Class C	PMNNX	6241
PIMCO New York Municipal Bond Fund	Class A	PNYAX	4037
PIMCO New York Municipal Bond Fund	Class C	PBFCX	4237
PIMCO Preferred and Capital Securities Fund	Class A	PFANX	8021
PIMCO Preferred and Capital Securities Fund	Class C	PFCJX	8286
PIMCO RAE Emerging Markets Fund	Class A	PEAFX	8022
PIMCO RAE Fundamental Advantage PLUS Fund	Class A	PTFAX	4088
PIMCO RAE Global ex-US Fund	Class A	PZRAX	8027
PIMCO RAE International Fund	Class A	PPYAX	8025
PIMCO RAE PLUS EMG Fund	Class A	PEFFX	6046
PIMCO RAE PLUS EMG Fund	Class C	PEFCX	6246
PIMCO RAE PLUS Fund	Class A	PIXAX	4043
PIMCO RAE PLUS Fund	Class C	PIXCX	4243
PIMCO RAE PLUS International Fund	Class A	PTSOX	8002
PIMCO RAE PLUS Small Fund	Class A	PCFAX	8001
PIMCO RAE PLUS Small Fund	Class C	PCFEX	8201
PIMCO RAE US Fund	Class A	PKAAX	8024
PIMCO RAE US Small Fund	Class A	PMJAX	8023
PIMCO RAE Worldwide Long/Short PLUS Fund	Class A	PWLBX	8085
PIMCO RAE Worldwide Long/Short PLUS Fund	Class C	PWLEX	8285
PIMCO RealEstateRealReturn Strategy Fund	Class A	PETAX	4061
PIMCO RealEstateRealReturn Strategy Fund	Class C	PETCX	4261
PIMCO REALPATH® Blend 2030 Fund	Class A	PBPAX	8015
PIMCO REALPATH® Blend 2035 Fund	Class A	PDGAX	8016
PIMCO REALPATH® Blend 2040 Fund	Class A	PVPAX	8017
PIMCO REALPATH® Blend 2045 Fund	Class A	PVQAX	8018
PIMCO REALPATH® Blend 2050 Fund	Class A	PPQAX	8019
PIMCO REALPATH® Blend 2055 Fund	Class A	PRQAX	8020
PIMCO REALPATH® Blend 2060 Fund	Class A	PRBAX	8088
PIMCO REALPATH® Blend 2065 Fund	Class A	PBLIX	8091
PIMCO REALPATH® Blend 2070 Fund	Class A	PAJEX	8093
PIMCO REALPATH® Blend Income Fund	Class A	PBRAX	8012
PIMCO Real Return Fund	Class A	PRTNX	4010
PIMCO Real Return Fund	Class C	PRTCX	4210
PIMCO Short Asset Investment Fund	Class A	PAIAX	6042
PIMCO Short Duration Municipal Income Fund	Class A	PSDAX	4039
PIMCO Short Duration Municipal Income Fund	Class C	PSDCX	4239
PIMCO Short-Term Fund	Class A	PSHAX	4002
PIMCO Short-Term Fund	Class C	PFTCX	4202
PIMCO StocksPLUS® Absolute Return Fund	Class A	PTOAX	4062
PIMCO StocksPLUS® Absolute Return Fund	Class C	PSOCX	4262
PIMCO StocksPLUS® Fund	Class A	PSPAX	4008
PIMCO StocksPLUS® Fund	Class C	PSPCX	4208
PIMCO StocksPLUS® International Fund (Unhedged)	Class A	PPUAX	4056
PIMCO StocksPLUS® International Fund (Unhedged)	Class C	PPUCX	4256
PIMCO StocksPLUS® International Fund (U.S. Dollar-Hedged)	Class A	PIPAX	4044
PIMCO StocksPLUS® International Fund (U.S. Dollar-Hedged)	Class C	PIPCX	4244
PIMCO StocksPLUS® Short Fund	Class A	PSSAX	4052
PIMCO StocksPLUS® Short Fund	Class C	PSSCX	4252
PIMCO StocksPLUS® Small Fund	Class A	PCKAX	4053
PIMCO StocksPLUS® Small Fund	Class C	PCKCX	4253
PIMCO Total Return ESG Fund	Class A	PTGAX	8089
PIMCO Total Return ESG Fund	Class C	PTGCX	8289
PIMCO Total Return Fund	Class A	PTTAX	4005
PIMCO Total Return Fund	Class C	PTTCX	4205
PIMCO Total Return Fund IV	Class A	PTUZX	6032
PIMCO TRENDS Managed Futures Strategy Fund	Class A	PQTAX	6047
PIMCO TRENDS Managed Futures Strategy Fund	Class C	PQTCX	6247

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# PIMCO Privacy Policy<sup>1</sup>

PIMCO Funds  
PIMCO Variable Insurance Trust ("PVIT")  
PIMCO ETF Trust  
PIMCO Equity Series ("PES")  
PIMCO Equity Series VIT ("PESVIT")  
PIMCO Managed Accounts Trust  
PIMCO Sponsored Closed-End Funds  
PIMCO Sponsored Interval Funds  
PIMCO Capital Solutions BDC Corp.<sup>2</sup>  
PIMCO Investments LLC<sup>3</sup>

The Funds consider customer privacy to be a fundamental aspect of their relationships with shareholders and are committed to maintaining the confidentiality, integrity and security of their current, prospective and former shareholders' non-public personal information. The Funds have developed policies that are designed to protect this confidentiality, while allowing shareholder needs to be served.

## Obtaining Non-Public Personal Information

In the course of providing shareholders with products and services, the Funds and certain service providers to the Funds, such as the Funds' investment advisers or sub-advisers ("Advisers"), may obtain non-public personal information about shareholders, which may come from sources such as account applications and other forms, from other written, electronic or verbal correspondence, from shareholder transactions, from a shareholder's brokerage or financial advisory firm, financial professional or consultant, and/or from information captured on applicable websites.

## Respecting Your Privacy

As a matter of policy, the Funds do not disclose any non-public personal information provided by shareholders or gathered by the Funds to non-affiliated third parties, except as required or permitted by law or as necessary for such third parties to perform their agreements with respect to the Funds. As is common in the industry, non-affiliated companies may from time to time be used to provide certain services, such as preparing and mailing prospectuses, reports, account statements and other information, conducting research on shareholder satisfaction and gathering shareholder proxies. The Funds or their affiliates may also retain non-affiliated companies to market Fund shares or products which use Fund shares and enter into joint marketing arrangements with them and other companies. These companies may have access to a shareholder's personal and account information, but are permitted to use this information solely to provide the specific service or as otherwise permitted by law. In most cases, the shareholders will be clients of a third party, but the Funds may also provide a shareholder's personal and account information to the shareholder's respective brokerage or financial advisory firm and/or financial professional or consultant.

## Sharing Information with Third Parties

The Funds reserve the right to disclose or report personal or account information to non-affiliated third parties in limited circumstances where the Funds believe in good faith that disclosure is required under law, to cooperate with regulators or law enforcement authorities, to protect their rights or property, or upon reasonable request by any Fund in which a shareholder has invested. In addition, the Funds may disclose information about a shareholder or a shareholder's accounts to a non-affiliated third party at the shareholder's request or with the consent of the shareholder.

## Sharing Information with Affiliates

The Funds may share shareholder information with their affiliates in connection with servicing shareholders' accounts, and subject to applicable law may provide shareholders with information about products and services that the Funds or their Advisers, distributors or their affiliates ("Service Affiliates") believe may be of interest to such shareholders. The information that the Funds may share may include, for example, a shareholder's participation in the Funds or in other investment programs sponsored by a Service Affiliate, a shareholder's ownership of certain types of accounts (such as IRAs), information about the Funds' experiences or transactions with a shareholder, information captured on applicable websites, or other data about a shareholder's accounts, subject to applicable law. The Funds' Service Affiliates, in turn, are not permitted to share shareholder information with non-affiliated entities, except as required or permitted by law.

## Procedures to Safeguard Private Information

The Funds take seriously the obligation to safeguard shareholder non-public personal information. In addition to this policy, the Funds have implemented procedures that are designed to restrict access to a shareholder's non-public personal information to internal personnel who need to know that information to perform their jobs, such as servicing shareholder accounts or notifying shareholders of new products or services. Physical, electronic and procedural safeguards are in place to guard a shareholder's non-public personal information.

## Information Collected from Websites

The Funds or their service providers and partners may collect information from shareholders via websites they maintain. The information collected via websites maintained by the Funds or their service providers includes client non-public personal information.

## Changes to the Privacy Policy

From time to time, the Funds may update or revise this privacy policy. If there are changes to the terms of this privacy policy, documents containing the revised policy on the relevant website will be updated.

<sup>1</sup> When distributing this Policy, a Fund may combine the distribution with any similar distribution of its investment adviser's privacy policy. The distributed, combined, policy may be written in the first person (i.e. by using "we" instead of "the Funds").

<sup>2</sup> The listed entities which are open-end investment companies are known as the "Trusts," the listed entities which are publicly-traded closed-end investment companies are known as the "Closed-End Funds," the listed entities which are closed-end investment companies operating as "interval" funds pursuant to Rule 23c-3 under the 1940 Act are known as the "Interval Funds", and the listed entities which are business development companies are known as the "BDCs." The Trusts' respective series, the Closed-End Funds, the Interval Funds and the BDC are referred to herein as the "Funds." References to "Trustees" include Directors, as applicable.

<sup>3</sup> PIMCO Investments LLC ("PI") serves as the Funds' distributor and does not provide brokerage services or any financial advice to investors in the Funds solely because it distributes the Funds. This Privacy Policy applies to the activities of PI to the extent that PI regularly effects or engages in transactions with or for a shareholder of a series of a Trust who is the record owner of such shares. For purposes of this Privacy Policy, references to "the Funds" shall include PI when acting in this capacity.

# PIMCO Funds Important Investor Information Regarding Breakpoints

Below is a general Breakpoint Disclosure Statement discussing various matters an investor should consider when investing in the PIMCO Funds. Please read it carefully. For more detailed information on these matters with respect to the PIMCO Funds: (i) contact your financial advisor, (ii) visit our website at [pimco.com](http://pimco.com) to obtain copies of the current PIMCO Funds prospectuses and statements of additional information, or (iii) call PIMCO Funds at 888.877.4626.

## Breakpoint Disclosure Statement

Before investing in the PIMCO Funds, it is important that you understand the sales charges, expenses, and management fees that you will be charged, as well as the breakpoint discounts to which you may be entitled. Understanding these charges and breakpoint discounts will assist you in identifying the best investment for your particular needs and may help you reduce the cost of your investment. This disclosure statement will give you general background information about these charges and discounts with respect to the PIMCO Funds. Sales charges, expenses, management fees, and breakpoint discounts, however, vary from PIMCO Fund to PIMCO Fund. **Therefore, you should discuss these issues with your financial advisor and review each PIMCO Fund's prospectus and statement of additional information, which are available from your financial advisor or our website, to get the specific information regarding the charges and breakpoint discounts associated with a particular PIMCO Fund.** An investor should provide certain information or records (as set forth in the prospectus) to their financial advisor, or to the PIMCO Funds' Distributor, to verify the investor's eligibility for breakpoint discounts. If such information or records are not provided, the financial advisor and/or PIMCO Funds' Distributor may be unable to ensure that the discount is correctly applied to the investor's account.

## Sales Charges

Investors that purchase PIMCO Funds must make certain choices, including which funds to purchase and which share class is most advantageous. Each PIMCO Fund has a specified investment strategy. You need to consider whether the fund's investment strategy is compatible with your investment objectives. Additionally, each publically available PIMCO Fund offers different share classes. Although each share class represents a similar interest in the fund's portfolio, the fund will charge you different fees and expenses depending upon your choice of share class. Class A shares of most PIMCO Funds carry a "front-end" sales charge or "load" that is deducted from your investment at the time you buy fund shares. This sales charge is a percentage of your total purchase. As explained below, the PIMCO Funds offer volume discounts to the front-end sales charge assessed on Class A shares at certain pre-determined levels of investment, which are called "breakpoint discounts." A complete waiver of front-end sales charges may also be available for certain types of accounts or account holders.

In contrast, C shares of the PIMCO Funds do not carry any front-end sales charges. Instead, investors that purchase Class C shares pay asset-based sales charges, which are typically higher than the asset-based charges associated with Class A shares. Investors that purchase Class C shares may also be required to pay a sales charge known as a Contingent Deferred Sales Charge if they sell their shares within one year of purchase. Investors in Class A shares of the PIMCO Funds may also pay a Contingent Deferred Sales Charge if they paid no front-end sales charge due to a volume discount and then redeem such shares within 18 months of purchase.

## Breakpoint Discounts and Waivers

The PIMCO Funds offer investors a variety of ways to qualify for breakpoint discounts on the sales charge associated with the purchase of Class A shares. In general, the PIMCO Funds provide breakpoint discounts to investors who make large purchases at one time. The extent of the discount depends upon the size of the purchase. As the amount of the purchase increases, the percentage used to determine the sales load decreases. In fact, the entire sales charge may be waived for investors that make very large purchases of Class A shares or for certain types of accounts and account holders. The PIMCO Funds' prospectuses contain tables that illustrate the available breakpoint discounts and the investment levels at which breakpoint discounts apply. Additionally, the PIMCO Funds allow investors to qualify for breakpoint discounts based upon current holdings from prior purchases through "Rights of Accumulation," and future purchases, based upon "Letters of Intent." You should discuss these issues with your financial advisor and review the applicable PIMCO Funds prospectus to determine the specific terms upon which the PIMCO Funds offer breakpoint discounts.

**Combined Purchase Privilege** — A "Qualifying Investor" may qualify for a breakpoint discount on Class A shares by combining concurrent purchases of the Class A shares of one or more PIMCO Funds into a single purchase.

**Rights of Accumulation** — A "Qualifying Investor" may qualify for a breakpoint discount on Class A shares by combining the purchase of Class A shares of a PIMCO Fund with the current aggregate net asset value (NAV) of all Class A and C shares of any PIMCO Fund held by accounts for the benefit of such Qualifying Investor.

A "Qualifying Investor" may include an individual, certain immediate family relatives or other related party accounts, as set forth in the current prospectus. You should refer to the prospectus for details and restrictions. If you wish to rely upon the holdings of related parties or account balances at another financial advisor to qualify for a breakpoint discount, you should speak with your financial advisor about these accounts. You may need to provide documentation to your financial advisor or the PIMCO Funds' Distributor if you wish to rely upon such accounts for purposes of receiving a breakpoint discount.

**Letters of Intent** — The PIMCO Funds allow investors to qualify for breakpoint discounts by signing a Letter of Intent, which indicates the investor's plan to purchase a specified amount of Class A shares within 13 months. For example, if an investor plans to purchase \$50,000 worth of Class A shares over a period of 13 months, but each individual purchase would not qualify for a breakpoint discount, the investor could sign a Letter of Intent at the time of the first purchase and receive the breakpoint discount associated with \$50,000 investments on the first and all subsequent purchases. Additionally, the PIMCO Funds offer retroactive Letters of Intent that allow investors to rely upon purchases in the past to qualify for a breakpoint discount. If an investor fails to invest the amount required by the Letter of Intent, however, the PIMCO Funds are entitled to retroactively deduct the correct sales charges based upon the amount that the investor actually invested. If you intend to make several purchases within a 13-month period, you should consult your financial advisor and the PIMCO Funds prospectuses to determine if it would be beneficial for you to sign a Letter of Intent.

To determine whether an investor qualifies for a breakpoint discount, the offering price of the shares is used for purchases relying on the Combined Purchase Privilege or a Letter of Intent and the amount of the total current purchase (including any sales charge) plus the NAV of shares previously acquired is used for the Right of Accumulation.

**Reinstatement Privilege** — Class A investors who have redeemed some or all of their shares may reinvest all or a portion of such redemption proceeds in new Class A shares of any PIMCO Fund at NAV without any sales charge, provided that such investment is made within 120 days after the redemption date. The reinstatement privilege may be utilized by a shareholder only once, with certain exceptions noted in the PIMCO Funds prospectuses and statements of additional information.

**Sales Without a Sales Charge** — In addition to the programs summarized above, the PIMCO Funds may sell their Class A shares at NAV without any sales charge to certain types of accounts or account holders, as set forth in the current prospectus. Also, Class A shares issued pursuant to the automatic reinvestment of income dividends or capital gains distributions are issued at NAV and are not subject to any sales charges.

Understanding the availability of breakpoint discounts is important because it may allow you to purchase Class A shares at a lower price. The availability of breakpoint discounts may save you money and may also affect your decision regarding the appropriate share class in which to invest. Therefore, you should discuss the availability of breakpoint discounts with your financial advisor and carefully review the applicable PIMCO Funds prospectus and statement of additional information, which you can get from your financial advisor or our website, when choosing among the funds and share classes offered by the PIMCO Funds. If you wish to learn more about mutual fund share classes or mutual fund breakpoints, you may wish to review the investor alerts available on the FINRA website. See [finra.org/Investors/ProtectYourself/InvestorAlerts/MutualFunds/p006022](http://finra.org/Investors/ProtectYourself/InvestorAlerts/MutualFunds/p006022) and [finra.org/Investors/ProtectYourself/InvestorAlerts/MutualFunds/P006008](http://finra.org/Investors/ProtectYourself/InvestorAlerts/MutualFunds/P006008).

PIMCO Funds  
PIMCO Variable Insurance Trust ("PVIT")  
PIMCO ETF Trust  
PIMCO Equity Series ("PES")  
PIMCO Equity Series VIT ("PESVIT")  
PIMCO Managed Accounts Trust  
PIMCO Sponsored Closed-End Funds  
PIMCO Sponsored Interval Funds  
PIMCO Capital Solutions BDC Corp.<sup>1</sup>  
PIMCO Investments LLC<sup>2</sup>

## Funds Privacy Notice for California Resident Representatives of Institutional Shareholders<sup>3</sup>

### Introduction

The purpose of this Privacy Notice for California Residents ("California Privacy Notice") is to provide certain individuals who reside in California and are representatives of our institutional shareholders with information regarding our collection and use of their personal information (as defined below), in accordance with the California Consumer Privacy Act of 2018, as amended (the "CCPA"). This California Privacy Notice is intended to apply to personal information we collect through our account applications as well as other sources, as described below. It does not apply to personal information collected through our website, which is described here: <https://www.pimco.com/en-us/general/legal-pages/privacy-policy#online-privacy-notice>.

The CCPA may not be applicable to every individual receiving this notice. For example, the CCPA contains certain exceptions, including an exception for personal information that is collected, processed, sold or disclosed subject to the federal Gramm Leach Bliley Act ("GLBA") and implementing regulations, and so the privacy rights set out herein may not apply to you or to all of your personal information.

### Personal Information

By "personal information" we mean information that identifies, relates to, describes, is reasonably capable of being associated with, or could reasonably be linked, directly or indirectly, with a particular individual natural person who is a California resident, which includes "personal information" and "sensitive personal information" as such terms are defined in the CCPA. For institutional shareholder, this includes information of individuals connected with you as a shareholder, who act on your behalf, or represent you as an authorized person (for example, individual directors, shareholders, beneficial owners, authorized signatories, trustees, employees, representatives, consultants, intermediaries or agents).

### Personal Information We May Collect From or About You

- (i) Identifiers such as your name, residential and/or business address, mailing address, email address, business contact information, driver's license, tax identification number, social security (or national insurance or similar) number, passport number and other government identification information and/or numbers.
- (ii) Categories of personal information listed in the California Customer Records statute (Cal. Civ. Code 1798.80(e)) that may include social security number, physical characteristics or description, address, telephone number, [passport number, driver's license or state identification card number.
- (iii) Commercial information, including records of products or services purchased, obtained or considered, or other purchasing or consuming histories or tendencies.
- (iv) Geolocation data, such as your residential and/or business address, or mailing address.
- (v) Professional or employment-related information, such as your job title or employer.
- (vi) Inferences drawn from this information.
- (vii) Sensitive personal information, such as your social security, driver's license, state identification card, or passport number.

"Publicly available information", lawfully obtained, truthful information that is a matter of public concern, "de-identified" data and "aggregate" California resident information (as those terms are used in the CCPA) are not personal information for purposes of the CCPA. This California Privacy Notice does not apply to such information.

### Sources From Which We May Obtain Your Personal Information

We collect personal information from the following sources:

- (i) Your, your employer's, your designated representative's and/or other authorized person's correspondence, interactions and transactions with us, or our affiliates, delegates or others, including through account applications and other forms, from other written, electronic or verbal correspondence, from shareholder transactions, and/or from a shareholder's brokerage or financial advisory firm, financial professional or consultant.
- (ii) Information we receive from our service providers, such as the Funds' investment advisers or sub-advisers ("Advisers"), transfer agent, or other sources we may engage in connection with conducting due diligence, know-your-customer, anti-money laundering and other checks required to be performed in relation to admitting new shareholders.
- (iii) Information from government and other public databases.

1 PIMCO Funds, PVIT, PIMCO ETF Trust, PES, PESVIT and PIMCO Managed Accounts Trust are referred to collectively as the "Trusts." The listed entities which are publicly-traded closed-end investment companies are known as the "Closed-End Funds", the listed entities which are closed-end investment companies operating as "interval" funds under Rule 23c-3 under the 1940 Act are known as the "Interval Funds", and the listed entities which are business development companies are known as the "BDCs." The Trusts, the Closed-End Funds, the Interval Funds and the BDCs are referred to collectively as the "Funds."

2 PIMCO Investments LLC ("PI") serves as the Funds' distributor and does not provide brokerage services or any financial advice to investors in the Funds solely because it distributes the Funds. This Privacy Policy applies to the activities of PI to the extent that PI regularly effects or engages in transactions with or for a shareholder of a series of a Trust who is the record owner of such shares. For purposes of this Privacy Policy, references to "the Funds" shall include PI when acting in this capacity.

3 When distributing this Policy, a Fund may combine the distribution with any similar distribution of its investment adviser's privacy policy. The distributed, combined, policy may be written in the first person (i.e. by using "we" instead of "the Funds").

## How We May Use Your personal information

We may collect, store and use your personal information for the following purposes:

- (i) To deliver the information, products and services you or your employer requested from us.
- (ii) To reach out to you about and market or promote new information to you or your employer.
- (iii) To communicate with you or your employer.
- (iv) To carry out our obligations and enforce our rights and obligations under a contract with you or your employer or to take steps at your request prior to entering into such a contract (e.g., to process an account application, reflect your employer's ownership of shares in the Funds, provide information you have requested, create and administer your employer's account, administer your employer's investments, maintain registers and communicate with you about your employer's investments).
- (v) In any other way we describe when you provide the information, or otherwise at your direction or with your or your employer's consent.
- (vi) As permitted by law or as we may notify you.
- (vii) Where it is necessary for the establishment, exercise or defense of legal claims.

## How We May Disclose Your Personal Information

We may disclose personal information to our affiliates and certain unaffiliated entities (including but not limited to your employer) in order to carry out and implement any and all purposes described above, and for the objects of the Funds, including:

- (i) To our service providers, affiliates and delegates, including the Advisers and transfer agent, that may act as service providers (the "Service Providers"), which may use personal information, for example, to provide their services to us, prepare and mail prospectuses, reports, account statements and other information, conduct research on shareholder satisfaction and gather shareholder proxies.
- (ii) To entities that help us market Fund shares or products which use Fund shares and enter into joint marketing arrangements with them and other companies. These companies may have access to your employer's account information.
- (iii) To your employer's brokerage or financial advisory firm and/or financial professional or consultant.
- (iv) To cooperate with regulators or law enforcement authorities, including in response to an inquiry or investigation from a regulator such as the California Attorney General or California Privacy Protection agency, to protect the Funds' rights and property, or upon reasonable request by any Fund in which a shareholder has invested.
- (v) As authorized by you, your employer or designated representatives of you or your employer or other authorized persons.
- (vi) With our affiliates in connection with servicing shareholders' accounts, and subject to applicable law you or your employer may be provided with information about products and services that the Funds or their Advisers, distributors or their affiliates ("**Service Affiliates**") believe may be of interest to such shareholders. The information disclosed may include, for example, a shareholder's participation in the Funds or in other investment programs sponsored by a Service Affiliate, a shareholder's ownership of certain types of accounts, information about the Funds' experiences or transactions with the shareholder, or other data about a shareholder's accounts, subject to applicable law.
- (vii) As required by law, regulation, or self-regulatory requirement, including to comply with a subpoena or similar legal process, including when we believe in good faith that disclosure is legally required.
- (viii) As necessary for the establishment, exercise or defense of legal claims, or where otherwise necessary to protect our rights and property.

We distribute your personal information to such entities in accordance with applicable law, rule and regulation.

## Data Retention

We will retain your personal information for as long as necessary to fulfil the purposes for which it was collected and processed, including for the purposes of satisfying any legal, regulatory, accounting or reporting requirements. To determine the appropriate retention period for your personal information, we will consider the amount, nature and sensitivity of the personal information, the potential risk from unauthorized use or disclosure, the purposes for which we process personal information and whether we can achieve those purposes through other means, and applicable legal requirements.

## California Privacy Rights

As a California resident, you may have certain rights in relation to your personal information.

## Right to Know

You may have the right to know how we have collected, used and disclosed your personal information over the last twelve months. Specifically, you may have the right to know:

- The categories of personal information we have collected about you.
- The categories of sources from which we have collected your personal information.
- The business or commercial purpose for which we collect, sell or share your personal information.
- The categories of third parties to whom we have disclosed your personal information.
- The categories of third parties to with whom we "share" your personal information for purposes of cross-context behavioral advertising, or to whom we sell your personal information.
- The categories of personal information that we have sold or shared about you and the categories of third parties to whom it was sold or shared
- The categories of personal information we have disclosed about you for a business purpose and the categories of persons to whom we have disclosed it

In addition, you may have the **right to know the specific pieces of personal information** we have collected about you. Subject to certain exceptions and limitations, you may request that we provide this information dating back to January 1, 2022.

### **Right to Make a Deletion Request**

You may have the right to request that we delete your personal information that we have collected or received. Subject to certain exceptions, we must delete your personal information and direct our service provider and contractors to do the same.

### **Right to Correct your Inaccurate Personal Information**

You may have the right to request that we correct any inaccurate personal information about you, taking into account the nature of the personal information and the purposes of the processing of the personal information.

### **Right to Opt-Out of Sales of your Personal Information**

If we were to “sell” your personal information as such term is defined in the CCPA, you would have the right to opt-out of the sale of your personal information. We do not sell your personal information for purposes of the CCPA.

### **Right to Opt-Out of Sharing of your Personal Information**

If we were to “share” your personal information for purposes of “cross-context behavioral advertising” as such terms are defined in the CCPA, you would have the right to opt-out of the sharing of your personal information. We do not share your personal information for cross-context behavioral advertising for purposes of the CCPA.

### **Right to Limit Use of your Sensitive Personal Information**

Subject to certain exceptions, you may have the right to limit our use and disclosure of your Sensitive personal information. We do not use or disclose your sensitive personal information in a manner that gives rise to this right.

### **Right to Non-Discrimination**

You have the right not to be discriminated against by us for choosing to exercise your rights under the CCPA.

### **Minors Under Age 16**

We do not have actual knowledge that we sell the personal information of minors under the age of 16, or share it for cross-context behavioral advertising, for purposes of the CCPA.

### **How to Exercise Your California Privacy Rights**

If you wish to exercise the rights noted above, please submit a request to us by contacting us at [AmericasPrivacy@pimco.com](mailto:AmericasPrivacy@pimco.com) or calling us at 866-746-2615.

### **Information for Authorized Agents**

You can authorize a person (“Authorized Agent”) registered with the California Secretary of State to exercise your California privacy rights on your behalf. An Authorized Agent can also include a person who has power of attorney or is acting as a conservator. To submit a request to PIMCO on behalf of another person as an Authorized Agent, please submit a request to us by clicking [here](#), calling us at 866-746-2615 or contacting us at [AmericasPrivacy@pimco.com](mailto:AmericasPrivacy@pimco.com).

### **Verifying Your Requests**

We only respond to your requests to know how we have collected, used and disclosed your personal information, to access the specific pieces of personal information we have about you, or to delete and correct inaccurate personal information when those requests are “verifiable.”

We may need to ask you for personal information to verify your request so we can match it to the personal information we already have about you. We may also need to obtain additional information about you that we do not already have. If you provide us with new personal information that we do not already have about you, we will use it solely for the purpose of verifying your request. We will let you know via email if we need more information from you to verify your request. Please reply to our requests promptly.

We will communicate with you about your requests via email. We will use the email address you provided when submitting your request.

If we cannot verify your identity, we will let you know.

### **Responding to Requests**

We aim to promptly verify and respond to your requests within 45 days of receipt but may require a total of up to 90 days to respond to your requests. If we require additional time beyond the initial 45 days after we receive your request, we will let you know within the first 45 days.

We do not ordinarily charge a fee for our response to your requests. However, we may do so to the extent your request(s) are excessive, repetitive, or manifestly unfounded. If we determine that charging a fee is warranted, we will let you know and will provide you with an estimate of the associated costs of responding to your request(s).

If we determine that we cannot or will not take the action that you requested, we will let you know. We will inform you of our reasons for not taking action and any rights you may have to appeal the decision.

Unless you tell us that you would like to receive a response via postal mail, we will respond to you via email regarding your requests to know and to access the specific pieces of personal information we have about you. We will contact you at the email address you provided when submitting your request(s). If you would like to receive responses to a request to know or access personal information via postal mail rather than email, please let us know when submitting your request(s).

### **Limitations**

The CCPA does not apply in full to all personal information we collect from California residents. Therefore, even if you are a California resident and submit a verifiable request, we may not be required to comply with your request.

We are only required to respond to certain requests twice in any twelve-month period. We are not required to provide you access to specific pieces of personal information more than twice in any twelve-month period. Similarly, we are not required to comply with your “requests to know” more than twice in any twelve-month period.

### **Changes to Our California Privacy Notice**

From time to time, we may update or revise this California Privacy Notice. If there are changes to the terms of this California Privacy Notice, documents containing the revised policy will be updated.

### **Contacting Us**

If you would like further information on the collection or use of your personal information, please submit questions, comments and requests by contacting us at [AmericasPrivacy@pimco.com](mailto:AmericasPrivacy@pimco.com).

Last Revised: January 2023