

## Indiana529 Advisor Savings Plan Enrollment Form (Class I)

# Indiana529

## Advisor Savings Plan

### IMPORTANT INFORMATION ABOUT OPENING A NEW ACCOUNT.

Use this form to enroll in Indiana529 Advisor Savings Plan ("Indiana529 Advisor" or the "Plan") if you are investing in Class I Units. If we do not receive all the required information, there could be a delay in opening your Account. If we are unable to verify your identity, we reserve the right to close your Account or take other steps we deem reasonable.

- Class I is only available for sale to certain eligible investors, including Account Owners who utilize the services of a registered investment adviser or financial professional who is compensated through an advisory account fee paid by the Account Owner; Account Owners working with a financial intermediary that has entered into a written agreement with Ascensus Broker Dealer Services, LLC ("ABDS") to offer such shares, and employees of ABDS.
- You must provide all information except where indicated as optional.
- Type in your information and print out the completed form, or print clearly, preferably in capital letters and black ink. Mail the form to the mailing address listed. Do not staple.

Terms used in the Form not otherwise capitalized have the same meaning as those terms in the Indiana529 Advisor Savings Plan Disclosure Booklet ("Disclosure Booklet"). Forms can be downloaded from our website at [www.indiana529advisor.com](http://www.indiana529advisor.com), or you can call us to order any form — or request assistance in completing this form — at **1.866.485.9413** any business day from 8 a.m. - 8 p.m. E.T.

Return this form and any other required documents to:

**Indiana529 Advisor Savings Plan**  
**P.O. Box 219354**  
**Kansas City, MO 64121**

For overnight delivery or registered mail, send to:

**Indiana529 Advisor Savings Plan**  
**1001 E 101st Terrace, Suite 200**  
**Kansas City, MO 64131**

### 1. Account Type (Choose one.)

- Individual Account.** I am opening a new Indiana529 Advisor Account.
- UGMA/UTMA Account.** I am opening an UGMA/UTMA Account with assets liquidated from an UGMA/UTMA custodial Account from the state of   (please abbreviate) in which the UGMA/UTMA custodial Account was opened. I am aware this may be a taxable event.
- Trust Account.** I am opening this Account as a Trust. (You must enclose the Trustee Certification Form, supporting documents substantiating the status of the Trust Account, and the authorization of the establishment of the authorized signer. We may also request additional information from you.)
- Business Entity.** I am opening this Account as a corporation, partnership, association, or estate. (You must include documentary evidence. Please enclose supporting documents substantiating the status of the Business Entity and the authorization of the establishment of the authorized signer. We may also request additional information from you.)
- Scholarship/Non-Profit.** I am opening this Account on behalf of a Scholarship program, Non-Profit organization or a state or local government (or agency or instrumentality thereof) or (ii) organization described in section 501(c)(3) of the Internal Revenue Code and exempt from taxation under section 501(a) as part of a scholarship program operated by such government or organization. (You must include documentary evidence. Please enclose supporting documents substantiating the status of the entity Account Owner and the authorization of the Account and the authority of the person signing the Enrollment Form. We may also request additional information from you.)



\* I N A E N R O L L M E N T F O R M C L A S S I \*

**2a. Account Owner Information** *(The Account Owner is the person or entity who owns the Account. This person must be at least 18 years old.)*

Legal Name (First name) **(Required)**  (m.i.)

Legal Name (Last name) **(Required)**

Business Entity/Trust/Government Entity name *(Required only if the Account Owner is a Business Entity/Trust/Government Entity)*

Social Security or Taxpayer Identification Number **(Required)**

Birth Date/Trust Establishment Date (mm/dd/yyyy) **(Required)**

Home/Evening Telephone Number

Work/Day Telephone Number

Citizenship *(If other than U.S. citizen, please indicate country of citizenship.)*

Email Address

U.S. Permanent Street Address *(P.O. boxes are not acceptable.)* **(Required)**

City

State  Zip Code

Account Mailing Address if different from above *(This address will be used as the Account's address of record for all account mailings.)*

City

State  Zip Code

**2b. Trust, Partnership, Corporation, Association, Estate, or Other Entity**

Name of Trustee 1/Authorized Signer Name *(first, middle initial, last)* **(Required)**

Social Security Number or Taxpayer Identification Number **(Required)**

Primary Telephone Number **(Required)**

Name of Trustee 2/Authorized Signer Name *(first, middle initial, last)*

Social Security Number or Taxpayer Identification Number **(Required)**

Primary Telephone Number

**3. Beneficiary Information** *(The Beneficiary is the person for whom the funds are intended.)*

Legal Name (First name) (Required) (m.i.)

Legal Name (Last name) (Required)

Social Security or Taxpayer Identification Number (Required)

Birth Date (mm/dd/yyyy) (Required)

Citizenship (If other than U.S. citizen, please indicate country of citizenship.)

Check if Beneficiary's address is the same as Account Owner's, otherwise complete the following:

Mailing Address

City

State

Zip Code

**Savings Goal(s)** *(Choose one.)*

Higher Education. Saving for qualified higher education expenses at any eligible post-secondary school.

K-12 Tuition Expenses. Saving for tuition expenses in connection with enrollment or attendance at an elementary or secondary public, private, or religious school.

Higher Education and K-12 Tuition Expenses. Saving for both qualified higher education expenses and K-12 tuition expenses.

Please note, if you are transferring to an existing Account, your savings goal selection will be applied if it does not currently exist.

**4. Successor Account Owner Information** *(Recommended)*

- As the Account Owner, you may designate a Successor Account Owner to take control of the Account in the event of your death.
- The person you designate as a Successor Account Owner **must be at least 18 years old**.
- You may revoke or change your designation later by completing the appropriate form.
- See the Disclosure Booklet for more information.

Legal Name (First name)/or Trust Name (Required) (m.i.)

Legal Name (Last name)/or Remaining Trust Name (Required)

Birth Date or Trust Date (mm/dd/yyyy) (Required)

**5. Financial Professional Information** (To be completed by the Financial Professional.)

Firm Name

Financial Professional Name (first, middle initial, last)

Branch Number (if applicable)

Financial Professional CRD Number

BIN Number (if applicable)

Networking Number (if applicable)

Mailing Address

City

State

Zip Code



Telephone Number

Email Address

**Authority to Financial Advisor**

By signing below, I certify that I am the Financial Professional to the Account Owner named in Section 2 above and that the information provided in this Section 5 is true and correct and that Ascensus College Savings Recordkeeping Services, LLC. and its affiliates may rely on it in administering this Account for so long as the Financial Professional’s firm maintains a Selling Dealer Agreement with Ascensus Broker Dealer Services, LLC with regard to the Plan.

Financial Professional Authorized Signature (**Required**)

Date (mm/dd/yyyy)

**6. Trusted Contact Person Information**

- By completing this section, you designate the person identified below as your Trusted Contact Person for all of you beneficiaries, and authorize the Indiana Direct Plan and its present and future direct or indirect subsidiaries, affiliates, and successors to contact your Trusted Contact person and disclose information:
  - 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 Financial Industry Regulatory Authority Rule (FINRA) 2165.
- This form does not create or give your Trusted Contact Person power of attorney. Your Trusted Contact Person will not be able to access your Account, make changes to your Account, or transfer assets to or from your Account.
- Completion of this section is optional and you may withdraw it at any time by notifying the Plan in writing. A Trusted Contact Person must be at least eighteen (18) years of age. You may add, change or remove your Trusted Contact Person by using this form.

Name of Trusted Contact Person (*first, middle initial, last*)

-  -

Trusted Contact Person's Primary Telephone Number

Trusted Contact Person's Email Address

Trusted Contact Person's Mailing Address

City

State

-

Zip Code

**Relationship to Account Owner.**

Advisor

Attorney

Spouse

Family Member

Friend

Other

## 7. Institutional Class Investment Option Selection *(Required)*

- Before choosing your Investment Option(s), please read the Disclosure Booklet available at [www.indiana529advisor.com](http://www.indiana529advisor.com) for complete information about the Investment Options.
- Please select one or more Investment Options from the choices below. If you choose one Investment Option, please indicate 100% next to that option. If you choose more than one Investment Option, please indicate the percentage amount of the contribution you would like invested into each of the selected Investment Options.
- You must allocate at least 1% of your contributions to each Investment Option that you choose.
- Use whole percentages only.
- Your total Investment Option percentages must equal **100%**.

### Year of Enrollment Portfolio:

Designed to allow you to select a Portfolio based upon the Beneficiary's anticipated year of enrollment at an Eligible Educational Institution. The asset allocation of these Portfolios is automatically adjusted over time to become more conservative.

	Class I
2043 Enrollment Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
2040 Enrollment Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
2037 Enrollment Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
2034 Enrollment Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
2031 Enrollment Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
2028 Enrollment Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
2025 Enrollment Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
College Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %

### Individual Portfolios:

The assets will remain in the Portfolio(s) until you exchange them into a new Investment Option.

TIPS Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Core Bond Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
PIMCO Total Return Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Vanguard Equity Income Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Large Cap Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
T. Rowe Price Large Cap Growth Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Mid Cap Equity Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Diamond Hill Small-Mid Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Small Cap Equity Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
International Equity Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
American Funds EuroPacific Growth Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Emerging Markets Equity Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %

### Savings Portfolio and Capital Preservation Portfolio:

The assets will remain in the Portfolio until you exchange them into a new Investment Option.

Savings Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Capital Preservation Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %

Total  %

**8. Contribution Method**

- Your minimum initial contribution must be at least \$25.
- Your initial contribution can come from several sources combined but you must check at least one source. If you combine sources, check the appropriate box for each source and write in the contribution amount for each.
- Contributions by any source (except payroll direct deposit) will not be available for withdrawal for 7 business days.

**Source of funds** *(Check all that apply.)*

A.  **Personal check.**

**Important:** All checks must be payable to **Indiana529 Advisor Savings Plan**.

\$

Amount

B.  **Electronic Fund Transfer (EFT).** Through EFT, you can make contributions online or by phone whenever you want by transferring money from your bank account. We will keep your bank instructions on file for future EFT contributions. To set up an EFT, you must provide bank information in **Section 9**. The Plan may place a limit on the total dollar amount per day you may contribute to an Account by EFT. *(The amount below will be a one-time EFT contribution to open your Account.)*

\$

Amount (\$25 minimum)

C.  **Recurring Contributions.** You can have a set amount automatically transferred from your bank, savings and loan, or credit union account monthly or quarterly. Money will be transferred electronically based on the frequency you select into your Advisor Account. You may change the investment amount and frequency at any time by logging onto your Account at **www.indiana529advisor.com** or by calling **1.866.485.9413**.

**Important:** To set up this option, you must provide bank information in **Section 9**.

**Amount of Debit:**  \$25  \$50  \$100  \$150  \$250  Other **\$**

Amount

**Frequency** *(Select one):*  **Monthly** *(\$25 minimum)*  **Quarterly** *(\$75 minimum)*

**Start Date:\***    -    -

Date (mm/dd/yyyy)

\* Your bank account will be debited on this date and your investment will be credited to your Indiana529 Advisor Account on the previous business day. If you indicate a start date that is within the first four (4) days of the month, there is a chance that your investment will be credited on the last business day of the previous month. If you do not indicate a start date, your bank account will be debited on the 20th of the applicable month. See the Disclosure Booklet for further information.

**Annual Increase.** You may increase your Recurring Contributions automatically on an annual basis. Your contribution will be adjusted each year in the month that you specify by the amount indicated.

**Amount of increase:** **\$**

**Month\*\*:**  January  February  March  April  May  June  
 July  August  September  October  November  December

\*\* The month in which your Recurring Contributions will be increased. The first increase will happen at the first occurrence of the month selected.

D.  **Direct Rollover from another 529 Plan, Education Savings Account (ESA), or qualified U.S. savings bond to Indiana529 Advisor.** By law, rollovers between 529 Plans with the same Beneficiary are permitted only once every 12 months. Complete and include an **Incoming Rollover Form**, available online at [www.indiana529advisor.com](http://www.indiana529advisor.com) or by calling **1.866.485.9413**.

E.  **Indirect Rollover from another 529 Plan, ESA, or qualified U.S. savings bond.** You can transfer money from one of these options to your bank account and from there, to Indiana529 Advisor.

**Important:** Indirect Rollovers require the documentation described below. If you do not provide this documentation, the entire amount will be considered earnings, which could result in adverse tax consequences, particularly if you later make a non-qualified distribution from your Indiana529 Advisor Account.

- **Indirect Rollover from another 529 Plan or an ESA** - Enclose documentation from the distributing financial institution showing contribution and earnings.
- **Indirect Rollover from qualified U.S. savings bonds** - Attach a statement or IRS Form 1099-INT, issued by the distributing financial institution, that shows the interest paid as of the redemption date.

\$     ,     .     
Contributions

\$     ,     .     
Earnings

F.  **Transfer from an existing Indiana529 Advisor Account.** Complete this section if you are transferring assets from an existing account. You will also need to complete an **Account Information Change Form**.

6  2         —    
Account Number

G.  **Payroll Direct Deposit.** If you want to make contributions to your Account directly as a Payroll Direct Deposit, you must contact your employer's payroll office to verify that you can participate. Payroll Direct Deposit contributions will not be made to your Account until you have received a **Payroll Direct Deposit Confirmation Form** from us, provided your signature and Social Security or taxpayer identification number on the form, and submitted the form to your employer's payroll office. The amount you indicate below will be in addition to Payroll Direct Deposits that you may have previously established for other Indiana529 Advisor Accounts.

\$   ,     .   0  0

Amount of Payroll Direct Deposit each pay period (\$25 minimum)

**9. Bank Information**

**Bank Information.** (Required to establish the Recurring Contributions or EFT service.)

**Important:** I acknowledge that my bank or financial institution is located in the U.S. and/or adheres to U.S. banking regulations.

**Note:** The routing number is usually located in the bottom left corner of your checks. You can also ask your bank for the routing number.

Bank Name

Bank Routing Number

Bank Account Number

Account Type  
(Check one.)    
Checking Savings



**10. Dollar-Cost Averaging** *(Optional)*

Dollar-Cost Averaging allows you to exchange from one Investment Option to one or more other Investment Options within your Account on a pre-scheduled basis.

- To start dollar-cost averaging, you must designate a minimum of \$5,000 to be exchanged from one Investment Option to one or more Investment Options on a pre-scheduled basis. The Source Portfolio must have a minimum of \$5,000 in assets to start dollar-cost averaging.
- Your entire initial contribution does not need to be included in the dollar-cost averaging.
- You must designate a minimum of \$500 for each monthly or quarterly scheduled exchange.
- Creating a dollar-cost averaging at the time of enrollment will NOT count towards your twice per calendar year Investment Option change limit. To start dollar-cost averaging at the time of enrollment, you must mail a contribution check with this completed form to the Plan.
- If you make any changes to or cancel an established dollar-cost averaging election it will count towards your twice per calendar year Investment Option change limit.

**Frequency** *(Select one):*     **Monthly**                       **Quarterly** *(Based on established date, not calendar quarter.)*

**Amount:**    \$    ,     .     
*Amount (\$500 minimum)*

**Start Date:**\*      -   -      
*Date (mm/dd/yyyy)*

\* We must receive instructions at least three business days prior to the indicated start date. Please review your quarterly statements for details of these transactions. If the date is not specified, this option will begin the month following the receipt of this request, on the 10th day of the month.

**Stop Type** *(Select one.):*

**Stop date**   -   -      
*Date (mm/dd/yyyy)*

**When total amount of reallocation equals:**    \$    ,     .     
*Amount (\$5,000.00 minimum)*

**When complete balance of the "Source Portfolio" Investment Option is depleted.**

**Source Portfolio\*\*:**

**Target Portfolio \*\*:** *(If selecting more than 3 Investment Options, please use a separate sheet of paper.)*

Investment Option

\$    ,     .     
*Dollar Amount (\$500 Minimum)*

Investment Option

\$    ,     .     
*Dollar Amount (\$500 Minimum)*

Investment Option

\$    ,     .     
*Dollar Amount (\$500 Minimum)*

\*\* The Source Portfolio and/or Target Portfolio cannot be the Savings Portfolio.

## 11. Signature—YOU MUST SIGN BELOW

By signing below, I hereby apply for an Account in Indiana529 Advisor. I certify that:

- I have received, read, and understand the terms and conditions of the Disclosure Booklet. I understand that by signing this **Enrollment Form**, I am agreeing to be bound by the terms and conditions of the Disclosure Booklet. I understand that the **Enrollment Form** shall be construed, governed by, and interpreted in accordance with the laws of the State of Indiana.
- Except as set forth below, I understand that the Disclosure Booklet and **Enrollment Form** constitute the entire agreement between myself and the Trust (*as defined in the Disclosure Booklet*). No person is authorized to make an oral modification to this agreement.
- I understand that my Account in Indiana529 Advisor is not insured by the State of Indiana or any other governmental entity and neither the principal I contribute nor the investment return is guaranteed by the State of Indiana, the Authority or any other governmental entity, the Trust, the Program Manager, the Investment Managers, or any of their affiliates (*each, as defined in the Disclosure Booklet*). Notwithstanding the foregoing, the Savings Portfolio is the only investment option in Indiana529 Advisor that is insured by the Federal Deposit Insurance Corporation ("FDIC"), up to limits set by the FDIC. I understand that there is no assurance that my Account under Indiana529 Advisor will generate any specific rate of return; in fact, there is no assurance that the Account will not decrease in value (*except for the Savings Portfolio as described in the Disclosure Booklet*).
- If I have chosen the recurring contribution or EFT option, I authorize the Program Manager, upon telephone or online request, to pay amounts representing redemptions made by me or to secure payment of amounts invested by me, by initiating credit or debit entries to my account at the bank named in **Section 10**. I authorize the bank to accept any such credits or debits to my account without responsibility for their accuracy. I further agree that the Plan Officials (*as defined in the Disclosure Booklet*) will not incur any loss, liability, cost, or expense for acting upon my telephone or online request. I understand that this authorization may be terminated by me at any time by notifying Indiana529 Advisor and the bank by telephone or in writing, and that the termination request will be effective as soon as Indiana529 Advisor and the bank have had a reasonable amount of time to act upon it. I certify that I have authority to transact on the bank account identified by me in **Section 10**.
- I understand that contributions that cause the total balance of this Account and any other Accounts established in Indiana529 Advisor and in any other Qualified Tuition Program offered by the State of Indiana on behalf of the Beneficiary designated in **Section 3** of this **Enrollment Form** to exceed the Maximum Account Balance established by the Authority are not permitted. I understand that if a contribution is made to my Account that exceeds the Maximum Account Balance, all or a portion of the contribution amount will be returned to me or the contributor, as applicable.
- **I agree to the terms of the predispute arbitration clause as described under the heading "Arbitration" in the General Provisions section of the Disclosure Booklet.**
- I understand that by signing the **Enrollment Form**, I authorize Ascensus College Savings Recordkeeping Services, LLC to provide my Financial Professional with access to my Account and perform transactions on my behalf. I agree to hold harmless the Plan Officials (*as defined in the Disclosure Booklet*) from any losses I incur as a result of the acts or omissions of my Financial Professional.
- I certify that all of the information that I provided on this **Enrollment Form** is accurate and complete and that I am bound by the terms, rights, and responsibilities stated in this agreement and by any and all statutory, administrative, and operating procedures that govern Indiana529 Advisor.
- If the Account is funded with UGMA/UTMA assets, I certify that I am of legal age in my state of residence, I am the Custodian of the Account, that I am authorized to open the Account, I am not aware of any adverse claim of ownership or court order relating to this Account, and I agree to hold harmless the Plan Officials from any third party claims relating to my actions.
- If the Account is owned by an entity or trust, I certify that I am authorized to act on its behalf in making this request and that I am authorized to open an Account for the Beneficiary named in **Section 3**. I agree to promptly inform Indiana529 Advisor in the event that any of the foregoing certifications becomes untrue. I understand and acknowledge that Indiana529 Advisor has the right to terminate the entity's participation in Indiana529 Advisor if it has reasonable grounds to believe that any of the foregoing certifications are untrue.

SIGNATURE

Signature of Account Owner

□□ — □□ — □□□□

Date (mm/dd/yyyy)

**12. Additional Information** *(Optional)*

It's important that Indiana529 Advisor meets the needs of Indiana residents. By supplying us with the following information, the Authority can understand how the Plan is being used. Your individual information will not be shared with any other party and will only be seen by the Authority and its service providers, including the Program Manager. Also, it will not be used on an individual basis *(so your anonymity will be protected)*. Thank you!

**How did you hear about Indiana529 Advisor?** *(Select One)*

- |   |   |  |   |
|---|---|--|---|
| <input type="checkbox"/> Online Ad              | <input type="checkbox"/> Magazine/Newspaper | <input type="checkbox"/> Print Ad            | <input type="checkbox"/> Television     |
| <input type="checkbox"/> Radio                  | <input type="checkbox"/> School Event       | <input type="checkbox"/> Community Event     | <input type="checkbox"/> Family/Friends |
| <input type="checkbox"/> Financial Professional | <input type="checkbox"/> Upromise Website   | <input type="checkbox"/> Direct Mail         | <input type="checkbox"/> E-Mail         |
| <input type="checkbox"/> Employer               | <input type="checkbox"/> Mailing            | <input type="checkbox"/> Treasurer's Website | <input type="checkbox"/> Other          |

**Educational level** *(Select One)*

Select the highest level of education you, the Account Owner, have completed.

- |   |  |  |  |
|---|--|--|--|
| <input type="checkbox"/> Some high school   | <input type="checkbox"/> High school diploma | <input type="checkbox"/> Some college        | <input type="checkbox"/> Bachelor's degree |
| <input type="checkbox"/> Associate's degree | <input type="checkbox"/> Master's degree     | <input type="checkbox"/> Professional degree | <input type="checkbox"/> Doctorate degree  |

**Race** *(Select One)*

- |  |                                |   |   |
|--|--------------------------------|---|---|
| <input type="checkbox"/> Caucasian       | <input type="checkbox"/> Asian | <input type="checkbox"/> African American | <input type="checkbox"/> Hispanic or Latino |
| <input type="checkbox"/> Native American | <input type="checkbox"/> Other |   |   |