College SAVE Plan

Advisor Change/Exchange Form for Financial Intermediaries

College SAVE™

Bank of North Dakota's 529 Plan

THIS FORM IS INTENDED FOR FINANCIAL INTERMEDIARY USE ONLY.

- Use this form to add or remove a financial intermediary from the account. You will need to update the investment selections and allocations as a result of this transaction.
- Print clearly, preferably in capital letters and black ink. Mail the form to the address below. Do not staple.

Forms can be downloaded from our website at **www.collegesave4u.com**, or you can call us to order any form — or request assistance in completing this form — at **1.866.SAVE.529 (1.866.728.3529)** any business day from 8 a.m. to 8 p.m. Eastern time.

Return this form to:

College SAVE
P.O. Box 219781
Kansas City, MO 64121-9781

For overnight delivery or registered mail, send to:

College SAVE
1001 E 101st Terrace, Suite 200
Kansas City, MO 64131

1. Current Participant information

Account Number(s) *(To list more than three Accounts, use a separate sheet.)*

Name of Participant *(first, middle initial, last)*

Telephone Number *(In case we have a question about your Account.)*

ND ADV EXCHANGE

2. Financial Advisor information

- Complete this section only if you are adding, changing, or removing Financial Advisor information on your Account.
- If you are adding a Financial Advisor, the Units in your Account will be converted to Advisor Class Units. If you are removing a Financial Advisor, the Units in your Account will be converted to Direct Class Units. Please see the College SAVE Plan Disclosure Statement for details and a description of the fees associated with eacht class.

Check one.

☐ Add ☐ Change If you are adding or removing a financial advisor, please complete **Section 3**.

Firm Name

Financial Advisor Name *(first, middle initial, last)*

Email Address

Branch Number *(if applicable)*

Advisor ID Number

Daytime Telephone Number

Branch Street Address

City

State

Zip Code

3. Exchange Instructions for Existing Assets

- For each investment option you hold and wish to exchange, tell us the percentage of assets you want moved and where you want the assets invested. *(You must allocate at least 5% of your exchange amount to each investment that you choose. Use whole percentages only.)*
- See the College SAVE Plan Disclosure Statement *(available at **www.collegesave4u.com**)* for complete information on the investment you're considering.
- This exchange does not affect the allocation of your future contributions.
- **Important:** You may choose no more than five investment options for your account.
- **Remember:** Federal law allows Participants to make two exchanges each calendar year.

☐ Advisor Share Class *(I have or am adding a Financial Advisor)*

☐ Direct Shares *(I do not have or am removing a Financial Advisor)*

You must make a selection if **Section 2** is complete.

Exchange FROM *(Check "All" or indicate a percentage for each investment option. Indicate your total exchange amount your current investment that you want to move to a new investment.)*			Investment Option	Exchange TO *(Indicate the percentage of your total exchange amount that you want invested in each option.)*
All		*Percentage*	**Target Enrollment Portfolios**	
☐	**OR**	☐☐ %	Target Enrollment 2042/2043	☐☐☐ %
☐	**OR**	☐☐ %	Target Enrollment 2040/2041	☐☐☐ %
☐	**OR**	☐☐ %	Target Enrollment 2038/2039	☐☐☐ %
☐	**OR**	☐☐ %	Target Enrollment 2036/2037	☐☐☐ %
☐	**OR**	☐☐ %	Target Enrollment 2034/2035	☐☐☐ %
☐	**OR**	☐☐ %	Target Enrollment 2032/2033	☐☐☐ %
☐	**OR**	☐☐ %	Target Enrollment 2030/2031	☐☐☐ %
☐	**OR**	☐☐ %	Target Enrollment 2028/2029	☐☐☐ %
☐	**OR**	☐☐ %	Target Enrollment 2026/2027	☐☐☐ %
☐	**OR**	☐☐ %	Target Enrollment 2024/2025	☐☐☐ %
☐	**OR**	☐☐ %	Commencement Portfolio	☐☐☐ %
			Individual Portfolios	
☐	**OR**	☐☐ %	Aggressive Growth Portfolio	☐☐☐ %
☐	**OR**	☐☐ %	Growth Portfolio	☐☐☐ %
☐	**OR**	☐☐ %	Moderate Growth Portfolio	☐☐☐ %
☐	**OR**	☐☐ %	Conservative Growth Portfolio	☐☐☐ %
☐	**OR**	☐☐ %	Income Portfolio	☐☐☐ %
☐	**OR**	☐☐ %	Interest Accumulation Portfolio	☐☐☐ %
			TOTAL	1 0 0 %

4. Instructions for Future Allocations

- Your future contributions, which can be updated at any time, will be invested in the options you select until you change them.
- Before choosing your investment, see the College SAVE Plan Disclosure Statement (available at www.collegesave4u.com) for complete information about the investment offered.
- You may allocate your contribution among a maximum of five investment options.
- You must allocate at least 5% of your contributions to each investment that you choose. Use whole percentages only.

Note: This change applies only to the allocation of your future contributions; it will not affect the assets currently held in your account..

☐ Advisor Share Class *(I have or am adding a Financial Advisor)*

☐ Direct Shares *(I do not have or am removing a Financial Advisor)*

You must make a selection if **Section 2** is complete.

Target Enrollment Portfolios

(Your investment mix automatically becomes more conservative as the beneficiary nears target enrollment year.)

Target Enrollment 2042/2043	☐☐☐ %
Target Enrollment 2040/2041	☐☐☐ %
Target Enrollment 2038/2039	☐☐☐ %
Target Enrollment 2036/2037	☐☐☐ %
Target Enrollment 2034/2035	☐☐☐ %
Target Enrollment 2032/2033	☐☐☐ %
Target Enrollment 2030/2031	☐☐☐ %
Target Enrollment 2028/2029	☐☐☐ %
Target Enrollment 2026/2027	☐☐☐ %
Target Enrollment 2024/2025	☐☐☐ %
Commencement Portfolio	☐☐☐ %

Individual Portfolios

(The assets will remain in the portfolio you select until you exchange them to a new investment option.)

Aggressive Growth Portfolio	☐☐☐ %
Growth Portfolio	☐☐☐ %
Moderate Growth Portfolio	☐☐☐ %
Conservative Growth Portfolio	☐☐☐ %
Income Portfolio	☐☐☐ %
Interest Accumulation Portfolio	☐☐☐ %
TOTAL	1 0 0 %

5. Signature — YOU MUST SIGN BELOW

I understand that by signing this Advisor Change/Exchange Form I am authorizing Ascensus College Savings Recordkeeping Services, LLC. *(as defined in the Disclosure Statement)* to allow my Financial Advisor to have access to my Account and to perform transactions on my behalf. I agree to hold harmless College SAVE, the State of North Dakota, Ascensus College Savings Recordkeeping Services, LLC., Bank of North Dakota and their respective agents, employees, and affiliates from any losses I incur as a result of the acts or omissions of my Financial Advisor.

I certify that the information provided herein is true and complete in all respects, and that I have read and understand, consent, and agree to all the terms and conditions of the Disclosure Statement.

SIGNATURE

Signature of Participant

☐☐ – ☐☐ – ☐☐☐☐

Date *(mm-dd-yyyy)*