SSGA Upromise 529 Plan

# Exchange/Future Contribution (Allocation) Form

SSGA Upromise529 POWERED BY SPDR® ETFs

- You can exchange existing assets or change your future contributions by completing this form, by telephone at **1.800.587.7305**, or online at **www.ssga.upromise529.com**.
- Complete **Section 2** to exchange existing assets to a new Investment Option. (You can do this twice per calendar year.)
- Complete **Section 3** to change your allocation instructions for future contributions.
- 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 address below. Do not staple.

Forms can be downloaded from our website at **www.ssga.upromise529.com**, or you can call us to order any form—or request assistance in completing this form—at **1.800.587.7305** any business day from 8 a.m. to 8 p.m. Eastern time.

Return this form and any other required documents to:

**SSGA Upromise 529**
**P.O. Box 55578**
**Boston, MA 02205-5578**

For overnight delivery or registered mail, send to:

**SSGA Upromise 529**
**95 Wells Ave., Suite 155**
**Newton, MA 02459-3204**

## 1 Account information

Account Number

Name of Account Owner *(first, middle initial, last)*

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

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

* S S G A   E X C H A N G E *

## 2 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.
- See the SSGA Upromise 529 Plan Description and Participation Agreement (Plan Description and Participation Agreement), *available at* **www.ssga.upromise529.com** or by telephone at **1.800.587.7305**, for complete information on the Investment Options you are considering.
- You must allocate at least **5%** of your contributions to each Investment Option that you choose. Use whole percentages only.
- Your investment percentages must total **100%**.

**Remember:** Federal law allows Account Owners to make two exchanges each calendar year.

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

| Exchange FROM | | | Investment Option | Exchange TO |
|---|---|---|---|---|
| *All* | | *Percentage* | **College Date Portfolios*** | |
| ☐ | OR | ☐☐ % | SSGA College Today Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SSGA College 2021 Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SSGA College 2024 Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SSGA College 2027 Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SSGA College 2030 Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SSGA College 2033 Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SSGA College 2036 Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SSGA College 2039 Portfolio | ☐☐☐ % |
| | | | **Risk-Based Portfolios**** | |
| ☐ | OR | ☐☐ % | SSGA Conservative Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SSGA Moderate Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SSGA Aggressive Portfolio | ☐☐☐ % |
| | | | **Static Portfolios**** | |
| ☐ | OR | ☐☐ % | SPDR S&P 500 ETF Trust Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR S&P MidCap 400 ETF Trust Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR S&P 600 Small Cap ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR Portfolio Developed World ex-US ETF portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR S&P International Small Cap ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR Portfolio Emerging Markets ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR S&P Emerging Markets Small Cap ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR Dow Jones REIT ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR Dow Jones International Real Estate ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR Portfolio Aggregate Bond ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR Bloomberg Barclays TIPS ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR Citi International Government Inflation-Protected Bond ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR Bloomberg Barclays High Yield Bond ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR Portfolio Short Term Corporate Bond ETF Portfolio | ☐☐☐ % |
| ☐ | OR | ☐☐ % | SPDR Bloomberg Barclays 1-3 Month T-Bill ETF Portfolio | ☐☐☐ % |
| | | | **Savings Portfolio Option**** | |
| ☐ | OR | ☐☐ % | Savings Portfolio | ☐☐☐ % |
| | | | | 1 0 0 % |

* With a College Date investment option, the portfolio's investment track is automatically adjusted from more aggressive to more conservative as your beneficiary grows older (and closer to the selected college date year).

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

## 3 Allocation instructions for future contributions

- Your future contributions will be invested in the Investment Options you select until you change them, which can be done at any time.
- Before choosing your Investment Option, see the Plan Description and Participation Agreement, *available at* **www.ssga.upromise529.com** or by telephone at **1.800.587.7305**, for complete information about the Investment Options offered.

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

**College Date Portfolios***

College Date portfolios are designed to make investing as easy as selecting the year in which the beneficiary is expected to start college. With a College Date investment option, the portfolio's investment track is automatically adjusted from more aggressive to more conservative as your child grows older (and closer to the selected college date year).

| | |
|---|---|
| SSGA College Today Portfolio | % |
| SSGA College 2021 Portfolio | % |
| SSGA College 2024 Portfolio | % |
| SSGA College 2027 Portfolio | % |
| SSGA College 2030 Portfolio | % |
| SSGA College 2033 Portfolio | % |
| SSGA College 2036 Portfolio | % |
| SSGA College 2039 Portfolio | % |

**Please remember to:**

- Allocate at least 5% of your contributions to each investment you choose
- Use whole numbers

**Risk-Based Portfolios****

If you prefer investing in strategies that are designed specifically to match the level of risk you are comfortable taking on in your account, then Risk-Based Portfolios may be a good fit for you. You can select an aggressive, moderate, or conservative track, depending on your risk tolerance and time horizon.

| | |
|---|---|
| SSGA Conservative Portfolio | % |
| SSGA Moderate Portfolio | % |
| SSGA Aggressive Portfolio | % |

**Static Portfolios****

Choose from fifteen investment options to create your own personalized investment mix. Each Static Portfolio is invested in a single underlying fund giving you options featuring different investment styles or asset classes, from equity to fixed income.

| | |
|---|---|
| SPDR S&P 500 ETF Trust Portfolio | % |
| SPDR S&P MidCap 400 ETF Trust Portfolio | % |
| SPDR S&P 600 Small Cap ETF Portfolio | % |
| SPDR Portfolio Developed World ex-US ETF portfolio | % |
| SPDR S&P International Small Cap ETF Portfolio | % |
| SPDR Portfolio Emerging Markets ETF Portfolio | % |
| SPDR S&P Emerging Markets Small Cap ETF Portfolio | % |
| SPDR Dow Jones REIT ETF Portfolio | % |
| SPDR Dow Jones International Real Estate ETF Portfolio | % |
| SPDR Portfolio Aggregate Bond ETF Portfolio | % |
| SPDR Bloomberg Barclays TIPS ETF Portfolio | % |
| SPDR Citi International Government Inflation-Protected Bond ETF Portfolio | % |
| SPDR Bloomberg Barclays High Yield Bond ETF Portfolio | % |
| SPDR Portfolio Short Term Corporate Bond ETF Portfolio | % |
| SPDR Bloomberg Barclays 1-3 Month T-Bill ETF Portfolio | % |

**Savings Portfolio Option****

| | |
|---|---|
| Savings Portfolio | % |
| | 100 % |

* With a college date investment option, the portfolio's investment track is automatically adjusted from more aggressive to more conservative as your beneficiary grows older (and closer to the selected college date year).

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

## 4 SIGNATURE — YOU MUST SIGN BELOW

I authorize the exchange of assets in my Account to the Investment Option(s) I selected in **Section 2** and/or the allocation of my future contributions to the Investment Option(s) I selected in **Section 3.** I certify that I have read and understand, consent, and agree to all the terms and conditions of the Plan Description and Participation Agreement.

SIGNATURE

Signature of Account Owner

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Date *(mm/dd/yyyy)*