

# Enrollment Form

**CollegeCounts**<sup>SM</sup>  
Alabama's 529 Fund

PO Box 85290  
Lincoln, NE 68501-5290  
CollegeCounts529.com

- ENROLL ONLINE at CollegeCounts529.com  
– or –
- Complete this Enrollment Form to establish an Account. Please return this completed form, check(s), and any other documents to:

**Regular Mail:**

CollegeCounts 529 Fund  
PO Box 85290  
Lincoln, NE 68501-5290

**Overnight Mail:**

CollegeCounts 529 Fund  
6811 S. 27th Street  
Lincoln, NE 68512

- For assistance, please call toll-free: (866) 529-2228.

**IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT:**

To help the government fight the funding of terrorism and money laundering activities, federal law requires financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents. If this information is not provided, the Program Manager may be delayed or unable to open your Account and accept your investment.

## 1 Account Type (Please check only one and complete the appropriate information)

- Individual Account** (Complete all sections except Section 5.)
- UGMA/UTMA Account** (Provide the Custodian's information in Section 2 and the Minor's information in Section 3.)
- Trust or Entity Ownership** (Complete Section 5 instead of Section 2.)

## 2 Account Owner Information

The Account Owner, who is at least 19 years old, is the person who controls the Account, names the Designated Beneficiary, directs withdrawals, and receives the Account statements.

First Name

M.I. Last Name

□□□-□□-□□□□

□□-□□-□□□□

Social Security Number

Date of Birth

Gender:  M  F

Residency Status:  U.S. Citizen  U.S. Resident Alien

Account Mailing Address

City, State, ZIP

Permanent Address (if different from above; no PO Boxes)

City, State, ZIP

Phone

E-Mail Address

Questions? Please call toll-free (866) 529-2228.

### 3 Designated Beneficiary Information

The Designated Beneficiary is the individual whose qualified higher education expenses will be paid from the Account.

First Name \_\_\_\_\_ M.I. \_\_\_\_\_ Last Name \_\_\_\_\_  
[ ][ ][ ] - [ ][ ] - [ ][ ][ ][ ] [ ][ ] - [ ][ ] - [ ][ ][ ][ ]  
Social Security Number Date of Birth

Please check this box if the Beneficiary's address is the same as the Account Owner's.

Permanent Address (no PO Boxes) \_\_\_\_\_ City, State, ZIP \_\_\_\_\_

### 4 Successor Account Owner (Optional)

Not permitted for UGMA/UTMA Accounts. The person or entity named below will be the Successor Account Owner in the event of the death of the Account Owner. You may update the Successor Account Owner at any time.

First Name \_\_\_\_\_ M.I. \_\_\_\_\_ Last Name \_\_\_\_\_

Please check this box if the Successor Account Owner's address is the same as the Account Owner's.

Mailing Address \_\_\_\_\_ City, State, ZIP \_\_\_\_\_  
[ ][ ][ ] - [ ][ ] - [ ][ ][ ][ ] [ ][ ] - [ ][ ] - [ ][ ][ ][ ]  
Social Security Number Date of Birth  
- OR -  
[ ][ ] - [ ][ ][ ][ ][ ][ ][ ] [ ][ ] - [ ][ ] - [ ][ ][ ][ ]  
Taxpayer Identification Number (if applicable) Date of Trust (if applicable)

### 5 Trust or Other Entity Information

Complete if you are establishing a Trust or Other Entity as Account Owner.

\_\_\_\_\_ [ ][ ] - [ ][ ] - [ ][ ][ ][ ]  
Name of Trust or Other Entity (Copy of Trust Document Required) Date of Trust/Date of Entity  
\_\_\_\_\_ [ ][ ] - [ ][ ][ ][ ][ ][ ][ ]  
Name of Trustee(s) or Authorized Corporate Officer Trust or Entity Tax Identification Number  
[ ][ ][ ] - [ ][ ] - [ ][ ][ ][ ] [ ][ ] - [ ][ ] - [ ][ ][ ][ ]  
Trustee Social Security Number Trustee Date of Birth

Mailing Address \_\_\_\_\_ City, State, ZIP \_\_\_\_\_

Permanent Address (if different from above; no PO Boxes) \_\_\_\_\_ City, State, ZIP \_\_\_\_\_

Phone \_\_\_\_\_ E-mail Address \_\_\_\_\_

Questions? Please call toll-free (866) 529-2228.

The Plan offers three different investment approaches. Select from Portfolio options A, B, or C. Your initial and future contribution(s) will be invested based on your following selection. Each investment Portfolio is explained in the Program Disclosure Statement and any supplements, which you must read and agree to before completing this form. For more information on the investment Portfolios, please visit [CollegeCounts529.com](http://CollegeCounts529.com) or refer to the CollegeCounts 529 Fund Program Disclosure Statement.

**CHECK ONLY ONE BOX (A), (B), OR (C).**

- A. Age-Based Portfolios** – Assets are invested in a mix of stocks, bonds, and money market funds allocated according to the age of the Designated Beneficiary. As the Designated Beneficiary approaches college age, the investment will move to an increasingly conservative allocation. If you've checked box (A), select one of the following:

**Aggressive Portfolio**       **Moderate Portfolio**       **Conservative Portfolio**

- B. Target Portfolios** – The asset allocations of these Portfolios remain fixed or “static” within a specified range. If you've checked box (B), select one of the following:

**Fund 100**     **Fund 80**     **Fund 60**     **Fund 40**     **Fund 20**     **Fixed Income Fund**

- C. Individual Fund Portfolios** – Create your own investment mix from one or more of the 529 Portfolios below. If you've checked box (C), select one or more of the following (*must total 100%*).

**Money Market**

\_\_\_\_\_ % Vanguard Prime Money Market  
529 Portfolio

**Fixed Income**

\_\_\_\_\_ % PIMCO Short-Term 529 Portfolio

\_\_\_\_\_ % Vanguard Short-Term Bond Index  
529 Portfolio

\_\_\_\_\_ % Vanguard Intermediate-Term Bond  
Index 529 Portfolio

\_\_\_\_\_ % Vanguard Total Bond Market Index  
529 Portfolio

\_\_\_\_\_ % Fidelity Advisor Investment Grade  
Bond 529 Portfolio

\_\_\_\_\_ % PIMCO Total Return 529 Portfolio

\_\_\_\_\_ % Vanguard Short-Term Inflation-  
Protected Securities 529 Portfolio

\_\_\_\_\_ % Vanguard Inflation-Protected  
Securities Index 529 Portfolio

**Balanced**

\_\_\_\_\_ % T. Rowe Price Balanced 529 Portfolio

**Real Estate**

\_\_\_\_\_ % Vanguard REIT Index 529 Portfolio

**Domestic (U.S.) Equity**

**Large-Cap**

\_\_\_\_\_ % Vanguard Value Index 529 Portfolio

\_\_\_\_\_ % Vanguard 500 Index 529 Portfolio

\_\_\_\_\_ % Vanguard Total Stock Market Index  
529 Portfolio

\_\_\_\_\_ % Vanguard Growth Index 529 Portfolio

**Mid-Cap**

\_\_\_\_\_ % Vanguard Mid-Cap Index 529 Portfolio

\_\_\_\_\_ % Vanguard Extended Market Index  
529 Portfolio

**Small-Cap**

\_\_\_\_\_ % Vanguard Small-Cap Value Index  
529 Portfolio

\_\_\_\_\_ % Vanguard Small-Cap Index 529 Portfolio

\_\_\_\_\_ % Vanguard Small-Cap Growth Index  
529 Portfolio

**International Equity**

\_\_\_\_\_ % Vanguard Total International Stock Index  
529 Portfolio

**Investment Products: Not FDIC Insured, No Bank Guarantee, May Lose Value.**

Questions? Please call toll-free (866) 529-2228.

## Contribution Information

Check all that apply. Use this section to select the funding type(s) for your initial investment and/or for subsequent investments. You may select more than one option.

A.  **Enclose a Check** made payable to "CollegeCounts 529 Fund" \$    ,    .

B.  **Deposit of UGMA/UTMA Custodial Assets.** I am funding this custodial CollegeCounts 529 Fund Account with the proceeds from the sale of assets held in a custodial account that was established under a Uniform Gift/Transfer to Minors Act (UGMA/UTMA) for the benefit of the Designated Beneficiary indicated in Section 3 of this Enrollment Form. I have read the Program Disclosure Statement and Account Agreement and understand that I will be considered the custodian of this Account as UGMA/UTMA custodian for such Designated Beneficiary. I understand that this means I will not be able to change the Designated Beneficiary on this Account, nor make Nonqualified Withdrawals other than for the benefit of such Designated Beneficiary. I understand that these same restrictions will apply to other Contributions made to this Account, regardless of the source of the funds.

C.  **Transfer/Rollover Into the CollegeCounts 529 Fund:\***  
You may transfer funds from another 529-qualified tuition program, directly transfer funds from a Coverdell Education Savings Account, or contribute proceeds from United States Savings Bonds. Certain rules and requirements must be met.

For more information, consult the CollegeCounts 529 Fund Program Disclosure Statement and your financial, tax, or legal advisor.

**Direct Rollover from another Qualified 529 Plan\***  
You must complete a Rollover Form and submit it with this Enrollment Form. \$ \_\_\_\_\_

**Funds from a Coverdell Education Savings Account\***  
You must complete a Rollover Form and submit it with this Enrollment Form. \$ \_\_\_\_\_

**Funds from a qualified U.S. Savings Bond\***  
Return the U.S. Savings Bond statement from your financial institution with this Enrollment Form. \$ \_\_\_\_\_

\*You are responsible for providing the CollegeCounts 529 Fund with the breakdown between contributions and earnings of the amount of the transfer/rollover. Please provide an account statement from the prior financial institution detailing the contribution portion (basis) and the earnings portion of the contribution. If a breakdown is not provided, we are required by law to treat the entire amount as earnings in computing future withdrawals.

D.  **Payroll Deduction.** Complete the Payroll Deduction Form (check with your employer as to availability) and return it with this Enrollment Form.

**Contribution Information (Continued)**

**E.**  **Automatic Investment Plan** - Allows automatic contribution transfers from your bank account into a CollegeCounts 529 Fund Account, as well as automatic deposit of distributions from a CollegeCounts 529 Fund Account. \$    ,    .

**Frequency:** (check one)

**Timing:**

Weekly

Day of the Week (circle one): Monday Tuesday Wednesday Thursday Friday

Twice a Month

Days of Month: \_\_\_\_\_ & \_\_\_\_\_  
*(If not provided, the transfers will occur on the 7th & 21st of the month.)*

Monthly

Day of Month: \_\_\_\_\_  
*(If not provided, the transfer will occur on the 17th of the month.)*

Quarterly

Day of the Month (i.e., 1-31): \_\_\_\_\_

**Check One:**

January, April, July, and October

February, May, August, and November

March, June, September, and December

Annually

Month \_\_\_\_\_ and Day of Month (i.e., 1-31) \_\_\_\_\_

**Bank Account Information:**

1. **Account Type:**  Checking  Savings

• **Tape voided check here. Do not staple**

Your bank account will be linked to your CollegeCounts 529 Fund Account so that you may purchase or sell shares by telephone or online at CollegeCounts529.com.

YOUR NAME	123
PAY TO THE	12 - 34
<b>TAPE YOUR PREPRINTED VOIDED CHECK OR SAVINGS ACCOUNT DEPOSIT SLIP HERE.</b>	
_____ \$ _____	DOLLARS
SAMPLE	
BANK NAME AND ADDRESS	
MEMO	
<input type="text"/> :123456789	<input type="text"/> 34568:
<b>VOID</b>	

I hereby authorize the Program Manager to initiate debit entries to the bank account indicated above, and the bank indicated above to debit the same amount. This authority is to remain in full force and effect until the Program Manager has received notification from me of its modification or termination in such time as to afford the Program Manager 10 business days to act on it. I understand that if a transaction cannot be made because of insufficient funds or because either account has been closed, this service will be canceled by the Program Manager. I acknowledge that the origination of ACH transactions to my account must comply with the provisions of applicable law. I further agree that if my draft is dishonored for any reason, with or without cause, the Program Manager will not bear any liability.

Union Bank & Trust Company may correct any transaction errors with a debit or credit to my financial institution account and/or my CollegeCounts 529 Fund Account.

Please allow approximately 10 business days for the first transfer. Please retain a copy of this authorization for your records.

**X**

Signature of Bank Account Owner

Date

**Questions? Please call toll-free (866) 529-2228.**

The Account Owner must sign and date this section in ink below:

- I acknowledge that I have received and read the current Program Disclosure Statement, Account Agreement, and this Enrollment Form and agree to be bound by the Account Agreement, the Act, and the Rules with respect to each Account I establish.
- I am 19 years of age or older. I am a U.S. citizen or a U.S. resident alien.
- I acknowledge that Accounts established under the CollegeCounts 529 Fund and their earnings are not insured by the Federal Deposit Insurance Corporation (FDIC) or any other governmental agency; are not a deposit or other obligation of Union Bank & Trust Company; are not guaranteed by the Board, the State of Alabama, the State Treasurer of Alabama, or Union Bank & Trust Company; and are subject to investment risk, including loss of principal.
- If established with a Trust as Account Owner, by signing this Enrollment Form the undersigned Trustee or Trustees certify that the provided trust agreement (or excerpts thereof) is a true copy of the current and valid legal document(s) and that there are no other Trustees of the Trust other than those listed in Section 5.
- I hereby ratify any telephone instructions given pursuant to this authorization and agree that the Board, Program, State, and Program Manager will not be liable for any loss, liability cost, or expense for acting upon such instructions. I understand that telephone calls may be recorded by the Program Manager, and I consent to such recordings.
- The information I have provided on this form is accurate and true.
- I certify that if I am funding this Account from a 529 rollover or transfer for the same Designated Beneficiary, there have been no other rollovers for the same Designated Beneficiary in the previous 12 months.
- I understand each Account established herein is governed by an arbitration clause, which is set forth in Section 12 of the Account Agreement. I acknowledge receiving a copy of the arbitration clause.
- I understand that providing my e-mail address gives the Program Manager permission to send me information about the CollegeCounts 529 Fund and services via e-mail.

■ **CERTIFICATION. Under penalties of perjury, I certify that:**

1. The number shown on this form is my correct taxpayer identification number, and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or U.S. resident alien, a domestic trust, an estate, a partnership, corporation, or company created or organized in the United States or under the laws of the United States.

If you are a resident of a state other than Alabama, you should check with your home state to see if it offers a Section 529 program. That program may offer state tax or other benefits to residents of that state which may not be available to investors in programs of other states.

**Signature and Date Required**

<b>X</b>	
Signature of Account Owner	Date
Print Name Here	Title (if other than an individual is establishing the Account)



Offered by the  
State of Alabama

UBT 529 Services a Division of



Program Manager

Questions? Please call toll-free (866) 529-2228.