



Pennsylvania 529 Investment Plan Enrollment Application

IMPORTANT INFORMATION ABOUT OPENING A NEW ACCOUNT. We are required by federal law to obtain from each person who opens an account certain personal information—including name, street address, and date of birth, among other information—that will be used to verify identity. If you do not provide us with this information, we will not be able to open the account. If we are unable to verify your identity, we reserve the right to close your account or take other steps we deem reasonable.

- Complete this form to establish an account, or open an account at www.PA529.com.
- Print clearly, preferably in capital letters and black ink.

To order any form—or get assistance in filling out this one—call us at **1-800-440-4000**. Return this form and any other required documents to: **Pennsylvania 529 Investment Plan, P.O. Box 55378, Boston, MA 02205-5378**. For overnight delivery or registered mail, send to: **Pennsylvania 529 Investment Plan, 95 Wells Avenue, Suite 155, Newton, MA 02459-3204**.

1. Account Type

Select one of the account types below. If you do not select an account type, we will open an individual account for you.

Individual account.

UGMA/UTMA account. I am opening this account with assets liquidated from an UGMA/UTMA custodial account. *I understand that this may be a taxable event.*

Indicate the state (please abbreviate) under the laws of which the UGMA/UTMA custodial account was opened.

Trust account. I am opening this account under an existing trust. *(You must include a copy of the entire trust document, including the name and date of the trust and the names and signatures of the trustees.)*

REMEMBER TO SIGN IN SECTION 12.



2. Account Owner Information *(This individual or trust owns and controls the account. The individual must be at least 18 years old.)*

Name of Individual or Custodian *(first, middle initial, last), or Trust*

 - -

Social Security or Taxpayer Identification Number

 - -

Birth Date/Trust Date *(mm-dd-yyyy)*

Citizenship *(If not a U.S. citizen, please indicate country of citizenship.):*

 - -

Daytime Telephone Number

 - -

Evening Telephone Number

Email Address

Permanent Street Address or APO/FPO *(A P.O. box is **not** acceptable.)*

City

State

 -

Zip Code

Account Mailing Address if Different From Above *(used both as the account's address of record and for all account mailings)*

City

State

 -

Zip Code

3. Beneficiary Information *(This individual is the future student.)*

You may select only one beneficiary per account.

Name *(first, middle initial, last)*

 - -

Social Security or Taxpayer Identification Number

 - -

Birth Date *(mm-dd-yyyy)*

Citizenship *(If not a U.S. citizen, please indicate country of citizenship.):*

4. Successor Owner Information *(Optional) (This individual will take control of your account in the event of your death or incapacity.)*

- You may revoke or change the Successor Owner at any time. Refer to the PA 529 Investment Plan Disclosure Statement *(Disclosure Statement)* for more information.
- You can have only one Successor Owner per account, and he or she must be a U.S. citizen or resident alien and must be at least 18 years of age.

Name *(first, middle initial, last)*

 - -

Birth Date *(mm-dd-yyyy)*

5. Investment Selection

- You can invest your contributions in the PA 529 Investment Plan’s target enrollment portfolios, individual portfolios, or a combination of these. Refer to the Disclosure Statement for more information.
- You may **choose up to five** of the investments listed below.
- You must **allocate at least 5%** of your contributions to each investment you choose, using whole percentages only.
- Your investment percentages must total 100%.

Target Enrollment Portfolios: *(Your investment mix automatically becomes more conservative as the beneficiary nears the target enrollment year.)*

Pennsylvania Target Enrollment 2044/2045 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Target Enrollment 2042/2043 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Target Enrollment 2040/2041 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Target Enrollment 2038/2039 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Target Enrollment 2036/2037 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Target Enrollment 2034/2035 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Target Enrollment 2032/2033 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Target Enrollment 2030/2031 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Target Enrollment 2028/2029 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Target Enrollment 2026/2027 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Target Enrollment 2024/2025 Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Pennsylvania Commencement Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %

- **Please remember to:**
- Choose no more than five investments for your account.
- Allocate at least 5% to each investment you choose.
- Use whole percentages.

Individual Portfolios

Stock Portfolios:

Aggressive Growth Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Total International Stock Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Total Stock Market Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Social Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Real Estate Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %

Balanced Portfolios:

Growth Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Moderate Growth Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Conservative Growth Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Income Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %

Bond Portfolios:

Conservative Income Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Total Bond Market Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Total International Bond Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %

Short-Term Investment Portfolios:

Interest Accumulation Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %
Short-Term Inflation Protected Securities Index Portfolio	<input type="text"/> <input type="text"/> <input type="text"/> %

Total %

12. Authorization—YOU MUST SIGN BELOW

By signing below, I hereby apply for an account in the PA 529 Investment Plan. I certify that:

- I have received the PA 529 Investment Plan Disclosure Statement and Participation Agreement. I understand that by signing this Enrollment Application, I am also signing and agreeing to be bound by the terms and conditions of the Disclosure Statement and Participation Agreement. I understand that this Enrollment Application shall be construed, governed, and interpreted in accordance with the laws of the Commonwealth of Pennsylvania.
- Except as set forth below, I understand that the Disclosure Statement and Participation Agreement constitutes the entire agreement between the account owner and the PA 529 Investment Plan. No person is authorized to make an oral modification to this agreement.
- I understand that I may incur federal and state income and penalty taxes as a consequence of certain activities, including terminating my account or changing my beneficiary to an ineligible person. (Account owners should seek advice from a qualified tax advisor.)
- I understand that contributions to the PA 529 Investment Plan are not insured and that the investment returns are not guaranteed by the Federal Deposit Insurance Corporation; The Vanguard Group, Inc.; Ascensus College Savings Recordkeeping Services LLC., or their affiliates; the Commonwealth of Pennsylvania; or any other government or government agency. I understand that contributions will be invested under the direction of the Treasurer of State and there is no assurance that the accounts under the PA 529 Investment Plan will generate any specific rate of return; in fact, there is no assurance that the accounts will not decrease in value.
- If I have chosen the AIP or EBT option, I authorize the Investment Plan and Ascensus College Savings Recordkeeping Services, LLC, 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 8**. I authorize the bank to accept any such credits or debits to my account without responsibility for their correctness. I acknowledge that the origination of ACH transactions involving my account must comply with U.S. law. I further agree that the Investment Plan; Ascensus College Savings Recordkeeping Services, LLC; The Vanguard Group, Inc.; and their respective affiliates, 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 the Investment Plan; Ascensus College Savings Recordkeeping Services, LLC; and the bank, and that the termination request will be effective as soon as the PA 529 Investment Plan and Ascensus College Savings Recordkeeping Services, LLC, 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.
- If I have indicated that I wish to enroll in the SAGE Scholars Tuition Rewards Program by completing **Section 9** and submitting this enrollment form, I am authorizing and directing the PA 529 Investment Plan to provide SAGE Scholars, Inc., with my name, address, and Social Security number and my beneficiary's name, address, and Social Security number, as well as my e-mail address and information on the amount of SAGE Scholars Tuition Rewards discounts to which I am entitled. SAGE Scholars, Inc., will use this information to administer the SAGE Scholars Tuition Rewards Program and may provide my information to SAGE Scholars member schools so that they may contact me or my beneficiary.
- I agree to the terms of the predispute arbitration clause as described in the **Arbitration** section of the Disclosure Statement and Participation Agreement.
- I certify that the information provided on this form is true and accurate 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 the PA 529 Investment Plan.

SIGNATURE

Signature of Account Owner

- -
Date (mm/dd/yyyy)

A valuable opportunity to supplement your college savings



Add to your college savings with the voluntary Upromise® service. Earn college savings from your everyday eligible purchases like online shopping, dining out, traveling, and more. This service costs nothing to join and when you link your Upromise and Pennsylvania 529 Investments Plan Accounts, your earnings will be automatically transferred on a periodic basis (\$25 minimum). Millions of families

around the country already take advantage of Upromise; join them!*

Here's how to become a member of the Upromise service. After we've received your completed Enrollment Form, we'll send you a welcome letter that includes your Account number. Using this information, simply visit **www.PA529.com** to register for Web access to your Account, then follow the online instructions to join Upromise. It's that easy.

Already a Upromise member? Log in to your account and link it with your new Pennsylvania 529 Investment Plan Account number.

*Upromise is an optional service offered by Upromise, Inc., is separate from the Pennsylvania 529 Investment Plan and is not affiliated with the State of Pennsylvania. Transfers from Upromise to a Pennsylvania 529 Investment Plan Account subject to a \$25 minimum. Terms and conditions apply to the Upromise service. Participating companies, contribution levels and terms and conditions are subject to change at any time without notice. Go to **Upromise.com** to learn more.

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