

Important information about opening a new NextGen 529 account:

- Use this form to open an individual or UTMA/UGMA account for yourself or a Designated Beneficiary. Please use the NextGen 529 **Client Select Series Entity Application** to open an account to be owned by an entity.
- Carefully read the **NextGen 529 Client Select Series Program Description and Participation Agreement** before completing this form.
- There's a \$500,000 maximum account balance per Designated Beneficiary.
- If you connect a bank account, the Participant/Account Owner or Designated Beneficiary (if applicable) must own the banking account.
- Make sure you use black ink. Type or print clearly in capital letters.

Need help?

Give us a call Monday – Friday
from 8am-8pm ET at
1-833-336-4529
(1-833-33NG529)

Individuals with speech or hearing disabilities may dial 711 to access Telecommunications Relay Service (TRS) from a telephone or TTY.

Mail the form to:

NextGen 529
PO Box 9670
Providence RI 02940-9670

Overnight Mail:

NextGen 529
4400 Computer Drive
Westborough, MA 01581

Fax:

844-751-0017

1 NextGen 529 Account type

- Individual
- UTMA/UGMA under _____ state's rules
State

2 Participant/Account Owner information

Name (First and Last)

___ / ___ / _____
Date of Birth (mm/dd/yyyy)

____ - ____ - _____
Social Security or Taxpayer Identification Number

____ - ____ - _____
Telephone Number

Are you a US citizen?

- Yes**
- No** (Please attach a copy of your Permanent Resident Card. Please do not staple; use a paper clip.)

Residential address

No P.O. Boxes are accepted for a residential address.

Street Address 1

Street Address 2

City

State

____ - ____ - _____
ZIP Code

Request for duplicate statements

If you would like a duplicate set of statements to be sent to an interested party, please complete the **Client Select Series Interested Party Duplicate Statement Request Form**, available online at NextGenforME.com.

3 Work information

Providing employment information for the Participant/Account Owner will help us understand how the account is being funded.

What is your work status? (Select one)

- Employed
 Self-Employed
 Retired or Not Working



A What's your occupation (Select one)

Answer if **employed** or **self-employed**:

- | | |
|---|--|
| <input type="radio"/> Accounting/Auditing | <input type="radio"/> Hospitality/Food |
| <input type="radio"/> Admin/Clerical | <input type="radio"/> Independent Investor |
| <input type="radio"/> Art/Antiques Dealer | <input type="radio"/> Information Technology |
| <input type="radio"/> Banking Professional | <input type="radio"/> Insurance |
| <input type="radio"/> Car/Boat/Airplane Dealer | <input type="radio"/> Legal Services |
| <input type="radio"/> Casino/Gaming | <input type="radio"/> Manufacturing/Production |
| <input type="radio"/> Construction/Skilled Trade | <input type="radio"/> Nonprofit Executive |
| <input type="radio"/> Creative/Design/Architectural | <input type="radio"/> Operations |
| <input type="radio"/> Defense/Military | <input type="radio"/> Other: |
| <input type="radio"/> Editorial/Writing/Publishing | _____ |
| <input type="radio"/> Education | (Please write in your occupation) |
| <input type="radio"/> Elected Official/Embassy | <input type="radio"/> Public Service |
| <input type="radio"/> Engineering/Science/R&D | <input type="radio"/> Retail/Sales/Real Estate |
| <input type="radio"/> Entertainment/Sports/Arts | <input type="radio"/> Student |
| <input type="radio"/> Financial Services | <input type="radio"/> Transportation/Warehousing |
| <input type="radio"/> Health Care Professional | |

B Please choose all of your sources of income (Select all that apply)

Answer if **retired or not working**:

- Retirement Savings
- Spousal Support
- Social Security or Pension
- Other Government Services
- Other:

(Please write in all other sources)

4 Designated Beneficiary information

This account is designed to be used for the Designated Beneficiary's Qualified Higher Education Expenses, as defined in the **NextGen 529 Client Select Series Program Description and Participation Agreement**.

Individual (non-UTMA/UGMA) accounts can change the Designated Beneficiary as long as the new Designated Beneficiary qualifies as a "Member of the Family" as defined in the **NextGen 529 Client Select Series Program Description and Participation Agreement**.

Is the Participant/Account Owner also the Designated Beneficiary?

- Yes**
- No** (Fill out the information below)

Name (First and Last)

___ / ___ / _____
Date of Birth (mm/dd/yyyy)

____ - ____ - _____
Social Security or Taxpayer Identification Number

Residential address

- Residential address is the same as the Participant/Account Owner
(Leave address information below blank)

Street Address 1

Street Address 2

City

____ - _____
State **ZIP Code**

5 Successor Participant information (Optional)

Complete this step only if you selected individual (non-UTMA/UGMA) account on **Step 1**.

The Successor Participant must be at least 18 years old and is eligible to become the Participant in the event the original Participant dies or becomes mentally disabled.

Do you want to add a Successor Participant?

You can always add or change the Successor Participant at any time (on individual accounts).

Yes

No (Leave Successor Participant information blank)

Name (First and Last)

___ ___ / ___ ___ / ___ ___ ___ ___

Date of Birth (mm/dd/yyyy)

___ ___ - ___ ___ - ___ ___ ___ ___

Social Security or Taxpayer Identification Number

7 Communication preferences

Mailing address

P.O. boxes are accepted for a mailing address.

- Use the Participant/Account Owner residential address as the mailing address
(Leave address information below blank)

Street Address 1

Street Address 2

City

State

ZIP Code

Choose how you want to receive statements and tax forms for all the accounts you manage (Select one.)

- Send digital tax forms, account notices and communications and quarterly statements by email
(Please answer **Step 7A** below)
- Send digital quarterly statements and account notices and communications by email, but send tax forms by U.S. mail*
(Please answer **Step 7A** below)
- Send quarterly statements, account information and tax forms by U.S. mail*
- A** What email address should we use?
Answer if you've chosen to receive items by email

Email Address

* All documents sent by U.S. mail will be mailed to the account's mailing address.

8 Contribution information

There's a \$500,000 maximum account balance per Designated Beneficiary. You can connect a bank account (**Step 9**) or include a check made out to NextGen 529.

How do you want to fund this account?

- Initial contribution only** (You must make an initial minimum contribution of at least \$25.)
- Initial contribution and recurring contributions** (You can fund your account through the Automated Funding Service (AFS), or direct deposit through payroll deductions if permitted by your employer.)
- Recurring contributions only** (You can fund your account through the Automated Funding Service (AFS), or direct deposit through payroll deductions if permitted by your employer.)

\$ _____ , _____ . _____

Initial contribution amount (if applicable.)

How are you making this contribution?

- Check** (Please include a check made out to NextGen 529 FBO [Name of Designated Beneficiary], do not staple, use a paper clip for the check and attach to this form.)
- ACH deposit** (Please complete your portfolio selection, then fill out **Step 9**)
- Payroll deductions** (To set up direct deposit through payroll deduction contributions into your NextGen 529 account, please complete the **Client Select Series Payroll Deduction Form** and send it in with your Application Form. You can find forms at [NextGenforME.com](https://www.NextGenforME.com))
- Rollover from another Section 529 Plan, Coverdell ESA or U.S. Savings Bonds** (Please fill out and include the **Client Select Series Incoming Rollover Form**. You can find forms at [NextGenforME.com](https://www.NextGenforME.com))
- Transfer from UTMA/UGMA Custodian Account** (Please fill out and include the **Client Select Series Incoming Rollover Form**. You can find forms at [NextGenforME.com](https://www.NextGenforME.com))

8 Contribution information - continued

A Recurring contributions (Optional)

This will authorize us to initiate recurring ACH debits (direct withdrawals) from your bank account (from **Step 9**) on the schedule you indicated for the amount you set. You may cancel or change these recurring ACH debits (direct withdrawals) at any time online or by completing a **Client Select Series Automated Funding Service Form**; however, we must receive your request at least 3 business days before you want it to become effective. We will continue to process transactions scheduled to occur before the end of the 3rd business day after you tell us to stop.

Would you like to make recurring recurring contributions?

- Yes** (Please complete this step and continue to portfolio selection) **No** (Please continue to portfolio selection)

How often would you like to make a contribution?

- Monthly**
- Quarterly**
- Semiannually**
- Annually**

\$ _____ , _____ . _____

Contribution Amount

____ / ____ / ____

Day of the Month (If you don't pick a date, we'll automatically do it on the 1st of every month*)

____ / ____ / ____

Date to Begin Contributions (mm/dd/yyyy)

* A note on when contributions will be deducted from your bank account: If the Contribution Day you've selected falls on a regular business day, your contribution will be deducted from your bank account two business days prior to the Contribution Day. If the Contribution Day you've selected falls on a weekend or a holiday, the contribution will be deducted from your bank account on the next Business Day.

8 Contribution information continued - portfolio selection*

Enter the percentage of future contributions to be allocated to each portfolio. Enter percentages as whole numbers.

		Contribution %
Age-Based Diversified Portfolios are portfolios that change over time as the beneficiary ages. For younger beneficiaries, the portfolio invests more aggressively. As the beneficiary nears college age, the investments gradually become more conservative.	BlackRock Age-Based Portfolio	
	Franklin Templeton Age-Based Portfolio	
	iShares Age-Based Portfolio	
	MFS Age-Based Portfolio	
Diversified Portfolios contain more than one mutual or exchange traded fund and are designed to address different risk tolerances and time horizons.	BlackRock Fixed Income Portfolio	
	BlackRock 100% Equity Portfolio	
	BlackRock 75% Equity Portfolio	
	Franklin Templeton Balanced Portfolio	
	Franklin Templeton Growth and Income Portfolio	
	Franklin Templeton Growth Portfolio	
	iShares Diversified Equity Portfolio	
	iShares Diversified Fixed Income Portfolio	
	MFS Conservative Mixed Asset Portfolio	
	MFS Equity Portfolio	
	MFS Fixed Income Portfolio	
Single Fund Portfolios invest in only one fund.	American Century Inflation-Adjusted Bond Portfolio	
	BlackRock Advantage Large Cap Core Portfolio	
	BlackRock Advantage Large Cap Growth Portfolio	
	BlackRock Equity Dividend Portfolio	
	BlackRock Global Allocation Portfolio	
	Franklin Templeton Global Bond Portfolio	
	Franklin Templeton Mutual Shares Portfolio	
	Franklin Templeton Small Cap Value Portfolio	
	Franklin Templeton Small-Mid Cap Growth Portfolio	
	iShares Core Conservative Allocation Portfolio	
	iShares Core Growth Allocation Portfolio	
	iShares Core Moderate Allocation Portfolio	
	iShares Core MSCI EAFE Portfolio	
	iShares Core MSCI EM Portfolio	
	iShares MSCI USA ESG Select Portfolio	
	iShares TIPS Bond Portfolio	
	Lord Abbett Total Return Portfolio	
	MainStay Winslow Large Cap Growth Portfolio	
	MFS Global Equity Portfolio	
	MFS Research International Portfolio	
	MFS Value Portfolio	
	Neuberger Berman International Equity Portfolio	
	Stable Principal Portfolios (Principal Plus Portfolio and NextGen Savings Portfolio) strive to retain principal.	Principal Plus Portfolio
NextGen Savings Portfolio		

Contribution total (all contributions must equal 100%): **100%**

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***Unit Class Disclosure:** Your NextGen 529 account will be automatically invested in A or C units (each unit class has different fees and expenses). If the assets across all of your NextGen 529 accounts are less than \$250,000, your contributions will be invested in C units that will automatically exchange to A units, without a sales charge, after 4 years from the date of initial purchase. When your total NextGen 529 assets reach or exceed \$250,000, contributions to your account will be automatically invested in A units without a sales charge. (You must provide evidence of the value of any NextGen 529 accounts not serviced by Sundry for such values to be included in determining unit class eligibility.)

9 Bank account information

If you choose to make deposits or withdrawals with an ACH bank transfer, attach a voided check or copy of a bank statement (showing the name, address, last 4 digits of the bank account number) and complete the bank information below. Please do not staple, use a paper clip for the check or bank statement, and attach to this form.

What type of documentation are you including to verify this bank account?

- Voided check
- Bank statement

Name on Bank Account

The Participant/Account Owner or Designated Beneficiary must own the bank account connected to the NextGen 529 account.

Bank Account Holder Signature

(If different from NextGen 529 account Participant/Account Owner)

Bank account type

- Checking
- Savings

Bank Name

Bank Routing Number

Bank Account Number

Need help?

You can find your bank information on the bottom of one of your checks here:

⑆000000000	⑆ 00000000000	⑆ 1000
Routing Number	Account Number	

10 Sign the form

By signing below, I am agreeing to the terms and conditions set forth below and in the **NextGen 529 Client Select Series Program Description and Participation Agreement**. I understand and agree that those documents govern all aspects of this Account and are incorporated herein by reference.

I have received, read and understand the **NextGen 529 Client Select Series Program Description and Participation Agreement**.

I will retain a copy of the **NextGen 529 Client Select Series Program Description and Participation Agreement** for my records. I understand that the NextGen 529 may, from time to time, amend the **NextGen 529 Client Select Series Program Description and Participation Agreement**, and I understand and agree that I will be subject to the terms of those amendments.

I certify that all of the information provided by me on this **Client Select Series Account Application** is, and all information provided by me in the future will be, true, complete and correct and I authorize NextGen 529 to open this Account based upon this information.

I understand that NextGen 529 will send all notices and communications relating to my Account in accordance with the communication preferences identified in **Step 7**. I will notify NextGen 529 of changes to my mailing address or email address and if my communication preferences change.

I understand that at any time the value of any Account(s) to which I make contributions may be more or less than the amounts I contributed to such Account(s).

If I have enclosed an **Client Select Series Incoming Rollover Form** and check for a rollover, I also certify that this amount was withdrawn from another qualified tuition program, a Coverdell Education Savings Account, or a qualified U.S. Savings Bond within the last 60 days and that I have not previously made a rollover for the same Designated Beneficiary from one qualified tuition program to another within the last 12 months. The entire rollover amount will be treated as earnings, and will be reported as earnings upon withdrawal, unless NextGen 529 receives a statement, including breakdown of the earnings and contributions, from the liquidating source.

I am aware that by providing banking information, I also authorize NextGen 529 to automatically provide certain capabilities in connection with my Account(s). This includes the ability to authorize withdrawals from my Accounts via telephone or through [NextGenforME.com](https://www.NextGenforME.com) provided my banking information has been on file for a minimum of 30 days. If I wish to remove these capabilities from my Account(s), I must remove my banking information.

Continued on the following page.

10 Sign the form - continued

If NextGen 529 is not your home state 529 plan, you should be aware of the following:

- Depending upon the laws of your home state or your beneficiary’s home state, favorable state tax treatment or other state benefits such as financial aid, scholarship funds, and protection from creditors may only be available for investments in such state’s Section 529 plan.
- Any state-based benefits offered with respect to a particular Section 529 college savings plan should be one of many appropriately weighted factors to be considered in making an investment decision.
- You should consult with your tax or other advisors to learn more about how state-based benefits (including any limitations) would apply to your specific circumstances and you also may wish to contact your home state or any other Section 529 plan to learn more about the features, benefits and limitations of that state’s Section 529 plan.

Any information presented by FAME about tax considerations affecting your financial transactions or arrangements is not intended as tax advice and cannot be relied upon for the purpose of avoiding any tax penalties. FAME does not provide tax, accounting or legal advice. You should review any planned financial transactions or arrangements that may have tax, accounting or legal implications with your personal professional advisors.

Signature of Participant/Account Owner

___ / ___ / ___
Date (mm/dd/yyyy)

The NextGen 529 Program Manager is Sumday Administration, LLC (“Sumday”), an indirect, wholly owned subsidiary of The Bank of New York Mellon Corporation. Sumday and its subcontractors and its affiliated companies, including The Bank of New York Mellon and BNY Investment Management Services LLC, together provide administrative, record-keeping, custodial and other services to the Program.

Investment products are not FDIC insured, are not bank guaranteed, and may lose value.



Sumday Administration, Program Manager



Program Administrator

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