



# Client Connect Series Investment Change Form

Important information about this form:

- Fill out this form to make changes to the current assets or your future contributions in your NextGen 529 account.
- Carefully read the **NextGen 529 Client Connect Series Program Description and Participation Agreement** before completing this form.
- Participant/Account Owner may exchange or change how existing NextGen 529 assets are allocated for the same Designated Beneficiary twice per calendar year or upon a change of the Designated Beneficiary.
- Future contributions may be changed at any time.
- The requested proceeds of the redeemed units will be reinvested in the portfolio(s) as directed and will be invested at the net asset value for units of the portfolio(s) on the day of reinvestment. To initiate an investment change in your NextGen 529 account, complete the applicable sections, sign Section 3 and follow the mailing instructions.
- Make sure you use black ink. Type or print clearly in capital letters.
- The funds will be reinvested in the portfolio(s) as direct at the net asset value as of the day of the change. To initiate an investment change in your NextGen 529 account, complete the applicable sections and follow the mailing instructions.

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 534457  
Pittsburgh, PA 15253-4457

Overnight Mail:

NextGen 529  
Attention: 534457  
500 Ross Street, 154-0520  
Pittsburgh, PA 15262

Fax:

1-844-751-0017

## 1 NextGen 529 Account information

\_\_\_\_\_  
Name of Participant/Account Owner (First and Last)

\_\_\_\_\_  
Participant/Account Owner's Last 4 Digits of Social Security or  
Taxpayer Identification Number

\_\_\_\_\_  
NextGen 529 Account Number

## 2 Investment change instructions

Complete this section if you would like to initiate the following investment changes to your NextGen 529 account.

What type(s) of investment changes do you want to make to your NextGen 529 account?

- Exchange your current NextGen 529 account assets (Continue to Section 2A)\*
- Update how your future NextGen 529 contributions are allocated (Continue to Section 2B)\*\*

Instructions for multiple NextGen 529 Accounts for the same Designated Beneficiary must be submitted at the same time in order for the instruction to count as only one investment change. If instructions for the same Designated Beneficiary are received and processed at separate times in the same calendar year, the subsequent instruction will count as the second investment change permitted per calendar year.

For a full list of all the portfolio options please go online to [NextGenforME.com](https://NextGenforME.com), or see the **NextGen 529 Client Connect Series Program Description and Participation Agreement** for important information about the investment options before making a decision.

\*Current assets may be exchanged twice per calendar year or upon a change of the Designated Beneficiary. Each portfolio has its own fee and expense structure. The new portfolio you are choosing to invest in may not bear the same fee and expense structure of the portfolio you are currently invested in. Please refer to the **NextGen 529 Client Connect Series Program Description and Participation Agreement** for more detailed information on fees and expenses for specific portfolios. Please note that Units of the Principal Plus Portfolio may not be exchanged for Units of the NextGen Savings Portfolio.

\*\*Investment instructions for future contributions may be changed at any time.

**2 A Exchange existing assets - portfolio selection**

Enter the percentage of new allocations of existing assets to be allocated to each portfolio. Percentages must be shown as whole numbers. Units may only be exchanged for the same unit class in another portfolio.

Portfolio	Exchange amount - % per Portfolio
iShares 2041 Enrollment Portfolio	%
iShares 2038 Enrollment Portfolio	%
iShares 2035 Enrollment Portfolio	%
iShares 2033 Enrollment Portfolio	%
iShares 2029 Enrollment Portfolio	%
iShares 2027 Enrollment Portfolio	%
iShares 2026 Enrollment Portfolio	%
iShares 2025 Enrollment Portfolio	%
iShares Enrolled Portfolio	%
NextGen Savings Portfolio	%
Contribution Total(s):	100%

**2 B Future contributions - portfolio selection**

Enter the percentage of future contributions to be allocated to each portfolio. Percentages must be shown as whole numbers.

Portfolio	Future Contribution Amount - % per Portfolio
iShares 2041 Enrollment Portfolio	%
iShares 2038 Enrollment Portfolio	%
iShares 2035 Enrollment Portfolio	%
iShares 2033 Enrollment Portfolio	%
iShares 2029 Enrollment Portfolio	%
iShares 2027 Enrollment Portfolio	%
iShares 2026 Enrollment Portfolio	%
iShares 2025 Enrollment Portfolio	%
iShares Enrolled Portfolio	%
NextGen Savings Portfolio	%
Contribution Total(s):	100%

### 3 Sign the form

By signing this form, I authorize the change of allocation funds as set forth in subsection A and/or subsection B in Section 2. I certify and understand the following:

I certify that I am the Participant/Account Owner, or I have the authority to act for the Participant/Account Owner.

- An investment change of existing funds among investment portfolios for my account can only be requested twice per calendar year or upon a change of the Designated Beneficiary.

I acknowledge that I am in receipt of the **NextGen 529 Client Connect Series Program Description and Participation Agreement** and any supplements thereto. I have read the **NextGen 529 Client Connect Series Program Description and Participation Agreement** and will keep a copy for my records. I further acknowledge and agree that the **NextGen 529 Client Connect Series Program Description and Participation Agreement** will govern all aspects of my NextGen 529 account, including all contributions to my NextGen 529 account. I also acknowledge that in accordance with the **NextGen 529 Client Connect Series Program Description and Participation Agreement**, I am agreeing in advance to arbitrate any controversies which may arise with the Program Manager.

\_\_\_\_\_  
Signature of Participant/Account Owner

\_\_\_\_\_  
Date (MM/DD/YYYY)

Vestwell State Savings, LLC (“Vestwell”) is the program manager, The Bank of New York Mellon is the program custodian, BlackRock Advisors, LLC is the program investment manager, and Northern Lights Distributors, LLC is the Connect Series distributor.

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



Program Manager



FINANCE AUTHORITY OF MAINE

Program Administrator

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