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# COVERDELL ESA APPLICATION



Use this COVERDELL ESA Application to open a COVERDELL EDUCATION SAVINGS ACCOUNT.

**IMPORTANT:** In compliance with the USA PATRIOT Act, Federal law requires all financial institutions (including mutual funds) 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, Social Security Number (SSN) or Tax Identification Number (TIN), a physical address (a Post Office box is not acceptable), date of birth, and other information that will allow us to identify you. We may also ask for additional identifying documents. The information is required for all owners, co-owners, or anyone who will be signing or transacting on behalf of a legal entity that will own the account. If any of this information is missing we will not be able to process your investment request. If we are unable to verify this information, your account may be closed and you will be subject to all applicable costs. If you have any questions regarding this application or how to invest, please call Shareholder Services at 1-866-954-6682.

Please note that a \$15.00 annual maintenance/custodian fee will be charged.

**PART I: DEPOSITOR INFORMATION (Generally the person opening the ESA) (\*DENOTES REQUIRED INFORMATION)**

\_\_\_\_\_  
Depositor's Name\* (First, M.I., Last)      Date of Birth\*      Social Security Number\*

\_\_\_\_\_  
Street Address (Physical Address)\*      Apartment #      City\*      State\*      Zip Code\*

\_\_\_\_\_  
Mailing Address (if different from above)      City      State      Zip Code

\_\_\_\_\_  
Daytime Phone\*      Evening Phone

U.S. Citizen     Resident Alien (Country)  
For mailing outside of U.S., provide:

\_\_\_\_\_  
Country of Residence      Province      Foreign Routing/Postal Code

**PART II: DESIGNATED BENEFICIARY INFORMATION (Generally the student)**

\_\_\_\_\_  
Minor's Name\* (First, M.I., Last)      Date of Birth\*      Social Security Number\*

\_\_\_\_\_  
Street Address (Physical Address)\*      Apartment #      City\*      State\*      Zip Code\*

\_\_\_\_\_  
Daytime Phone\*      Evening Phone

U.S. Citizen     Resident Alien (Country) \_\_\_\_\_

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**PART III: RESPONSIBLE INDIVIDUAL INFORMATION (Generally the Parent or Guardian)**

Parent/Guardian's Name\* (First, M.I., Last) \_\_\_\_\_ Date of Birth\* \_\_\_\_\_ Social Security Number\* \_\_\_\_\_

Street Address (Physical Address)\* \_\_\_\_\_ Apartment # \_\_\_\_\_ City\* \_\_\_\_\_ State\* \_\_\_\_\_ Zip Code\* \_\_\_\_\_

Mailing Address (if different from above) \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Daytime Phone\* \_\_\_\_\_ Evening Phone \_\_\_\_\_

U.S. Citizen  Resident Alien (Country)  
For mailing outside of U.S., provide:

Country of Residence \_\_\_\_\_ Province \_\_\_\_\_ Foreign Routing/Postal Code \_\_\_\_\_

Relationship to the Designated Beneficiary:  Mother  Father  Guardian  Other (specify) \_\_\_\_\_

\*NOTE: The contributor must name only one responsible individual and the responsible individual must be the designated beneficiary's parent or legal guardian. In certain situations, the designated beneficiary could be the responsible individual (see Article V of the Custodian Agreement).

**PART IV: AUTHORITY OF RESPONSIBLE INDIVIDUAL**

**Option 1:**  
 Yes  No The Responsible Individual named above may change the beneficiary designated under this agreement to another member of the Designated Beneficiary's family described in section 529(e)(2) in accordance with the Custodian's procedures.

**Option 2:**  
 Yes  No The Responsible Individual shall continue to serve as the Responsible Individual for the Custodial Account after the Designated Beneficiary attains the age of majority under state law and until such time as all assets have been distributed from the Custodial Account and the Custodial Account terminates. If the Responsible Individual becomes incapacitated or dies after the Designated Beneficiary reaches the age of majority under state law, the Responsible Individual shall be the Designated Beneficiary.

(If no boxes are checked in Option 1 or 2 above, the answer will be assumed to be "No.")

**PART V: SUCCESSOR RESPONSIBLE INDIVIDUAL**

If the Responsible Individual named above dies or becomes legally incapacitated while the Designated Beneficiary is a minor under state law, the following individual will become the successor Responsible Individual. If no successor is designated, the Designated Beneficiary's parent or guardian will become the successor Responsible Individual.

Successor's Name\* (First, M.I., Last) \_\_\_\_\_ Date of Birth\* \_\_\_\_\_ Social Security Number\* \_\_\_\_\_

Street Address (Physical Address)\* \_\_\_\_\_ Apartment # \_\_\_\_\_ City\* \_\_\_\_\_ State\* \_\_\_\_\_ Zip Code\* \_\_\_\_\_

Mailing Address (if different from above) \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Daytime Phone\* \_\_\_\_\_ Evening Phone \_\_\_\_\_

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**PART V: SUCCESSOR RESPONSIBLE INDIVIDUAL-CONTINUED**

U.S. Citizen  Resident Alien (Country)

For mailing outside of U.S., provide:

Country of Residence

Province

Foreign Routing/Postal Code

Relationship to the Designated Beneficiary:  Mother  Father  Guardian  Other (specify) \_\_\_\_\_

**PART VI: CONTRIBUTION INFORMATION**

Source of Funds (Select One):

Regular Contribution Amount: \_\_\_\_\_ Tax Year: \_\_\_\_\_

Direct Transfer Basis: \_\_\_\_\_ Earnings: \_\_\_\_\_

Rollover Basis: \_\_\_\_\_ Earnings: \_\_\_\_\_

**Important: Contributions made to your ESA will be for the current tax year unless you specify prior year.**

**Note:** The Fund's initial investment minimum is \$2,500.

**PART VII: INVESTMENT SELECTION**

Name of Investment	Total Investment Amount
1. Golub Group Equity Fund	\$

**PART VIII: ACCOUNT SERVICE OPTIONS FOR YOUR ESA**

The completion of this section is *OPTIONAL*.

**Systematic Investment Program (SIP)** – This option provides an automatic investment into your mutual fund(s) by transferring money directly from your bank account via ACH (Automated Clearing House) on a scheduled basis. Automatic investment plan must be established with a \$100 minimum. Please refer to the fund prospectus for other account restrictions. Please provide all of your bank account information AND attach a voided check or deposit slip. **Important: Contributions made to your ESA using SIP will be for the current tax year.** Keep this in mind for investments made from January 1 through April 15.

I authorize Golub Group Equity Fund to initiate investments into my mutual fund account according to the following frequency:

Annually  Semi-Annually  Quarterly  Bi-Weekly  Monthly  Other (Check months below)

January  February  March  April  May  June  
 July  August  September  October  November  December

Fund \_\_\_\_\_ Amount \$ \_\_\_\_\_ Day of Month (1<sup>st</sup>, 15<sup>th</sup>, etc.) \_\_\_\_\_

**Bank Account Information**

Provide information about your checking or savings account to establish a Systematic Investment Program by ACH. Please select one of the following:

Attach a voided check or deposit slip for your bank account. **Please use tape; do not staple.**

Provide information about your bank account on the following page.

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**PART VIII: ACCOUNT SERVICE OPTIONS FOR YOUR ESA-CONTINUED**

Enter your checking or savings account information:

Name: \_\_\_\_\_  
Name of Bank: \_\_\_\_\_ Bank's Phone Number: \_\_\_\_\_  
Bank Address: \_\_\_\_\_ ABA Routing Number: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
Name(s) on Bank Account: \_\_\_\_\_ Bank Account Number: \_\_\_\_\_  
Account Type:  Checking  Savings

John and Jane Doe 123 Any Street Anytown, USA 12345	Date _____	1003
PAY TO THE ORDER OF _____	Tape your voided check or preprinted deposit slip here. Please do <u>not</u> use staples.	\$ _____ DOLLARS
BANK NAME BANK ADDRESS		
MEMO _____		

**PART IX: DEATH BENEFICIARY DESIGNATION**

The following Death Beneficiaries will be entitled to receive any benefits upon the Designated Beneficiary's death. If the Primary or Contingent status is not indicated, the individual or entity will be considered a Primary beneficiary. Upon the Designated Beneficiary's death, the Coverdell ESA assets will be divided in equal shares (unless indicated otherwise) to the Primary beneficiaries who survive the Designated Beneficiary. If no Primary beneficiaries survive the Designated Beneficiary, the Coverdell ESA will be divided in equal shares (unless indicated otherwise) to the Contingent beneficiaries who survive the Designated Beneficiary. This beneficiary designation may be changed or revoked by completing another beneficiary designation and providing it to the ESA Trustee/Custodian.

**Type:**  Primary  Contingent Share Percentage: \_\_\_\_\_% Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_  
Name: \_\_\_\_\_ Relationship to Designated Beneficiary:  Family Member  Non-Family Member  
Residence Address: \_\_\_\_\_

**Type:**  Primary  Contingent Share Percentage: \_\_\_\_\_% Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_  
Name: \_\_\_\_\_ Relationship to Designated Beneficiary:  Family Member  Non-Family Member  
Residence Address: \_\_\_\_\_

**Type:**  Primary  Contingent Share Percentage: \_\_\_\_\_% Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_  
Name: \_\_\_\_\_ Relationship to Designated Beneficiary:  Family Member  Non-Family Member  
Residence Address: \_\_\_\_\_

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**PART IX: DEATH BENEFICIARY DESIGNATION-CONTINUED**

Type:  Primary  Contingent Share Percentage: \_\_\_\_\_ % Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Name: \_\_\_\_\_ Relationship to Designated Beneficiary:  Family Member  Non-Family Member

Residence Address: \_\_\_\_\_

Addendum attached and signed for additional beneficiaries.

To name a Trust as your beneficiary, attach a copy of the Trust Agreement to this form. If you need additional space to name beneficiaries, attach a separate sheet that includes all information requested above and indicates whether the beneficiaries are primary or secondary. Sign and date the sheet. You may change your beneficiaries at any time by sending written instructions to the Trustee/Custodian.

**PART X: SPOUSAL CONSENT**

This section is only completed if the Designated Beneficiary is married and has legal residence in a community or marital property state and someone other than or in addition to the Designated Beneficiary's spouse is named as Death Beneficiary. This section may have important tax consequences to the Designated Beneficiary and the Designated Beneficiary's spouse, so please consult with a competent advisor prior to completing. If the Designated Beneficiary is not currently married, but marries in the future, a new beneficiary designation that includes the spousal consent provisions must be completed.

**CONSENT OF SPOUSE**

By signing below, I acknowledge that I am the spouse of the ESA Designated Beneficiary and agree with and consent to the designation of a primary Death Beneficiary other than, or in addition to, me. I have been advised to consult a competent advisor and I assume all responsibility regarding this consent. The Custodian has not provided me any legal or tax advice.

Signature of Spouse of Designated Beneficiary:

X \_\_\_\_\_ Date: \_\_\_\_\_

Witness:

X \_\_\_\_\_ Date: \_\_\_\_\_

**PART XI: DUPLICATE ACCOUNT STATEMENT**

Yes, please send a duplicate statement to:

Name: \_\_\_\_\_

Physical Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**PART XII: PAYMENT METHOD**

You can open your account by either of these methods. Please check your choice:

**By Check** Enclose a check payable to Golub Group Equity Fund for the total amount.

**By Wire** For wire instructions call Shareholder Services at 1-866-954-6682.

**Other** \_\_\_\_\_

*(Third party checks, counter checks, starter checks, money orders, traveler's checks, checks drawn on non-U.S. financial institutions, credit card checks, and cash are not acceptable.) Note: Cashier's checks and bank official checks may be accepted in amounts greater than \$10,000.*

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**PART XIII: ACKNOWLEDGEMENT**

*(Note: This Application will not be processed unless signed below by the Depositor and Responsible Individual.)*

By signing this *Coverdell ESA Application*, I certify that the information I have provided is true, correct, and complete, and the Custodian (Unified Financial Securities, Inc.) may rely on what I have provided. In addition, I have read and received copies of the *Coverdell ESA Application, IRS Form 5305-EA, Disclosure Statement* and applicable fee schedules. I agree to be bound to their terms and conditions. I understand that I am responsible for the Coverdell ESA transactions, and I will indemnify and hold the Custodian harmless from any consequences related to executing my directions. If I have indicated any amounts as "carryback" contributions, I understand the contributions will be credited for the prior tax year. I understand that if the deposit establishing the Coverdell ESA contains rollover dollars, I elect to irrevocably designate this deposit as a rollover contribution. I have been advised to seek competent legal and tax advice and have not been provided any such advice from the Custodian.

Depositor Signature:

X \_\_\_\_\_ Date: \_\_\_\_\_

Responsible Individual's Signature (Complete if Depositor is NOT the Responsible Individual):

X \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Coverdell ESA Custodian Representative:

X \_\_\_\_\_ Date: \_\_\_\_\_

**PART XIV: FOR DEALER USE ONLY**

\_\_\_\_\_  
Financial Institution Name

\_\_\_\_\_  
Address

\_\_\_\_\_  
City

\_\_\_\_\_  
Dealer Number

\_\_\_\_\_  
Branch Number

**X** \_\_\_\_\_  
Representative's Signature

\_\_\_\_\_  
Representative's Full Name

\_\_\_\_\_  
Representative's Branch Office Telephone Number

\_\_\_\_\_  
State                      Zip Code

\_\_\_\_\_  
Representative Number

**X** \_\_\_\_\_  
Supervisor's Signature

**PART XV: MAILING INSTRUCTIONS**

Please send completed application to:

**Regular Mail Delivery**  
Golub Group Equity Fund  
P.O. Box 6110  
Indianapolis, IN 46206-6110

**Overnight Delivery**  
Golub Group Equity Fund  
2960 N. Meridian Street Suite 300  
Indianapolis, IN 46208