

How to Enroll in the BlackRock CollegeAdvantage 529 Savings Plan

Before you begin completing the application, you should consult your Financial Professional regarding your investment choices and options. Complete each section of the New Account Application, paying special attention to the sections marked as “Required.” Incomplete applications may not be processed. Please see the Program Description for more details.

Important Notes Regarding this Form:

- ▶ The **minimum initial investment is \$25 per Investment Option** (but may be lowered if using payroll deduction through an authorized company sponsored plan).
- ▶ Class A Units are generally subject to a front-end sales charge, Class C Units are generally subject to a contingent deferred sales charge if sold within 1 year of purchase.
- ▶ When opening a BlackRock Account using Bank Instructions or an Automatic Investment Plan please make sure to attach a bank statement or voided check.
- ▶ BlackRock does not accept starter checks for purchases.
- ▶ Some Investment Dealers have their own account opening policies & procedures – you should speak with your Financial Professional at the start of this process.

Additional Documentation

Certain account types may require additional documentation, including but not limited to:

- ▶ **Trust accounts** – copy of pertinent trust pages showing trust name, date, trustee names, signature & certification pages, etc.
- ▶ **Scholarships / Foundations** – document with information about the entity, naming the authorized signers and traders, recently dated.
- ▶ **Guardianship / Custodian:** For legal / court appointed custodians (non-UTMA) or guardians, a recently dated copy of the appointment document

How to Use this application:

- ▶ You can use this application for one Owner & Beneficiary, or for multiple accounts with more than one Beneficiary with the SAME Owner by including a copy of page 5 for each Beneficiary (each Beneficiary will have their own account number).
- ▶ Complete **Section 1** about the Owner, they type of account, and Successor Owner.
- ▶ **Section 2 (Investment Dealer)** is required to add any financial advisor on your account. Applications submitted without an Investment Dealer may only invest in Class A Units.
- ▶ In **Section 3**, tell us HOW you plan to contribute.
- ▶ In **Section 4**, tell us how to allocate contributions for each Beneficiary.
- ▶ **Section 5** includes service options that, while not required, can be beneficial for your account.
- ▶ The Owner must sign in **Section 6** to establish the account(s).

Services

- ▶ **Financial Professionals:** Sign in to our “Advisor Center” at www.blackrock.com/fp for enhanced tools, investment ideas, account access (through [AdvisorCentral®](#)) and more.

At this end of this application, you will see a listing of our Investment Options to help you complete your investment selection (in Section 4 and for an AIP). Investment Options are subject to change. For the most up to date information on these Investment Options, check our website at www.blackrock.com/collegeadvantage or call us at **1-866-529-8582**.

Use this form to enroll in the BlackRock CollegeAdvantage 529 Plan. As this is an advisor sold plan, the Investment Dealer section should be completed in order to establish an account.

- ▶ To change an *existing* Account Owner or Beneficiary on existing accounts, please use our **529 Change of Registration Form**.
- ▶ All information provided on each person listed on the account will be verified as required by the USA PATRIOT Act.

Mail this application, along with any other required documents, to:

- ▶ **Regular mail:**
BlackRock 529
P.O. Box 9783
Providence, RI 02940
- ▶ **Overnight mail:**
BlackRock 529
4400 Computer Drive
Westborough, MA 01581

Fax: (508) 599-6054



Questions? Call us at **1-866-529-8582**, Monday through Friday between 8:00 AM and 6:00 PM ET or visit us online at www.blackrock.com/collegeadvantage.

1. Account Owner Information (REQUIRED)

Please complete this section about the type of account you wish to open, and provide information on anyone that will be listed on your BlackRock account(s). Please note that missing or incorrect information may delay your account opening. If you do not select an account type, we will open an "Individual" 529 account for you.

First, tell us which type of account you would like to open

- Individual (*most common*)
 UTMA/UGMA under ____ (state) rules
 Trust*
 Custodian / Guardian*
 Scholarship*
 Foundation*
 Other: _____
(Non-UTMA / UGMA)

* May require additional documentation to establish the account. Please read instructions on page one or check with our team prior to submitting this form.

I am a participant in the _____ company-sponsored 529 plan. Group ID: _____
(Name of company)

1a. Now, please tell us about the Owner of this account

For each Account Owner / Beneficiary listed on the account, we will need their full name (first, middle initial and last - exactly as it will be registered on the account), date of birth and Social Security number. The Account Owner is the person responsible for the designated Beneficiary's account, and must be an individual over age 18 and a US citizen or resident alien, or an entity such as a trust or scholarship.

You must include a physical address here for each person listed on the account. If you wish to use a P.O. Box for mailing, please include it in the "Other Account Information" section on the next page.

_____ Full name of owner, custodian, guardian, etc.

_____ Street # _____ Street name

_____ Federal tax ID or Social Security number

_____ City _____ State _____ ZIP Code

_____ Date of birth (mm/dd/yyyy) _____ Contact telephone number

Check here to use this as the address on your account

If you are opening a trust, scholarship or foundation account, please complete **Section 1b**. If not, please continue to "Other Account Information" to name your Successor Owner, add your email and mailing address (if different than above). Then proceed to "Beneficiary Information" in Section 4.

1b. Complete this section for trusts, scholarships, foundation or other entities

The individual named below directs all Beneficiary designations, withdrawals and transactions. For trusts, we will need a copy of the appropriate sections of the trust document in order to establish the account. You will need to provide information for *each person listed in the registration* (i.e. each trustee or similar role).

_____ Full name of trustee, partner, authorized signer, etc.

_____ Federal tax ID or Social Security number

_____ Date of birth (mm/dd/yyyy) _____ Contact telephone number

_____ Street # _____ Street name

_____ City _____ State _____ ZIP Code

Check here to use this as the address on your account

For trusts, scholarships, foundations, etc., please provide information on any *additional* person listed in the registration.

_____ Full name co-trustee / partner, authorized signer, etc.

_____ Federal tax ID or Social Security number

_____ Date of trust (mm/dd/yyyy) _____ Contact telephone number

_____ Street # _____ Street name

_____ City _____ State _____ ZIP Code

Check here to use this as the address on your account

1c. Other Account Information



Sign Me Up For eDelivery!

By adding your email address, we will sign you up for eDelivery of Program Description (including supplements & amendments) & other general mailings. For your security, you will need to **Access Your Account online** at blackrock.com/collegeadvantage to add statements, transaction confirms and tax forms.

_____ Email Address

Mailing Address

Complete ONLY if you want the mailing address on your account to be *different* from the address given in Section 1 above. BlackRock will send ALL mail to this address, including any withdrawals by check.

_____ PO Box / Street # _____ Street name

_____ City _____ State _____ ZIP Code

1d. Successor Owner:

The Successor Owner will take over if the Owner passes away or becomes incapacitated. This option is not available on UTMA/UGMA 529s.

_____ Full name of Successor Owner

_____ Federal tax ID or Social Security number

_____ Date of birth (mm/dd/yyyy) _____ Contact telephone number

_____ Street # _____ Street name

_____ City _____ State _____ ZIP Code

2. Investment Dealer

Your Financial Professional will have this information available, and should help you complete it and review it for accuracy. This section is required to invest in Class C Units (if this section is not completed, your investment will be made in Class A Units).

Name of Dealer firm

Full name of Financial Professional

Dealer number

Branch number

Representative's number

PO Box # / Street #

Street name

Contact telephone #

City

State

Zip Code

Email address

Optional: BIN (Provided by Financial Professional): _____ Network level: _____

If required by the Investment Dealer firm: I (the above Financial Professional) have complied with my firm's policies and procedures in regards to opening this account.

Signature of Financial Professional

Date (mm/dd/yyyy)

Principal Approval (if required)

If this section is not completed, I hereby certify that I have not been solicited by anyone at BlackRock to open this Account, that my investment will be made in Class A Units, and I am aware that BlackRock has not provided, and will not provide, me with any financial advice in connection with my investment.

3: How to Fund Your Account

You can use this application to establish accounts **with the SAME Owner** for one or more Beneficiaries.

First, tell us **how** you will be contributing to these accounts, and then complete one page 5 for **each** Beneficiary with his or her personal information and allocation for their contributions.

About Your Initial & Subsequent Contributions

- I am including a **check** (payable to "BlackRock", "BlackRock 529" or "BlackRock FBO Beneficiary Name"). If the check represents a rollover of assets from another 529 Plan, a UTMA/UGMA custodial account, qualified savings bond or a Coverdell Education Savings Account, please complete and include the **529 Incoming Rollover Form**.
- Please make a purchase by withdrawing funds from my bank listed in "**Bank Instructions**" (in Section 5a)
- Please fund my account by Automatic Investment Plan
- I am establishing **Payroll Deduction through my employer**. Check with your employer to see if payroll deduction is an available option for you. In order to participate in Payroll Deduction, you must complete and include a Payroll Deduction Authorization Form.
- No Check Enclosed:** I am funding this account with a Rollover or Direct Transfer and including the **529 Incoming Rollover Form**
- No Check Enclosed:** I am funding this account through my broker/dealer (i.e. through FundSERV® / NSCC)

4. Beneficiary Information & Allocation (REQUIRED)

The designated Beneficiary of the account is the individual for whose qualified higher education expenses will be paid from this account. You can use this application to establish accounts **with the SAME Owner** for one or more Beneficiaries (just include a copy of this page for each additional Beneficiary).

Please provide us with the Beneficiary's information and the allocation for his or her contributions (from Section 3).

Make a copy of this page for each Beneficiary

Check here if the Beneficiary's address is the same as the Owner's. Otherwise, please complete below:

Full name of **Beneficiary** (first, middle initial & last)

Street #

Street name

Social Security number

Date of birth (mm/dd/yyyy)

City

State

ZIP Code

Investment Allocation

Now, please tell us how you wish to have your investment(s) for this Beneficiary **allocated**. You should consult your Financial Advisor about which investment choices are right for your portfolio. Please read the most current Program Description carefully before investing. You may open up to 5 BlackRock CollegeAdvantage Investment Options. The **minimum initial investment is \$25.00 per Investment Option** (but may be lowered if using payroll deduction through an authorized company sponsored plan).

Class A Units are generally subject to a front-end sales charge, while Class C Units are generally subject to a contingent deferred sales charge. **NOTE:** If you do not have an Investment Dealer on your account, you may not invest in Class C Units. If you do not elect a class of Units or if you do not list an Investment Dealer on your account, your purchase will be made in Class A Units. Availability of Class C Units may depend on the policies and procedures of your Investment Dealer. Please review the Program Description for more detailed information.

Investment Option Name	Class:		Investment Amount	
	A	C		
_____	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____ %
_____	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____ %
_____	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____ %
_____	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____ %
_____	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____ %

Total Amount to invest: \$ _____ = 100 %
(Must include an estimated amount)

Automatic Investment Plan

The Automatic Investment Plan ("AIP") allows you to invest in your BlackRock funds on a periodic basis for a **minimum of \$25 per Investment Option**. We will begin your AIP on the 20th of the first month after your account is opened if you do not specify a date. Please complete the **"Bank Instructions"** (in Section 5a) to enable your AIP and online purchases.

Fund Name	Investment Amount (per draft)	Please begin my AIP on _____ Date(mm/dd/yyyy)
_____	\$ _____	Please invest: <input type="checkbox"/> Monthly <input type="checkbox"/> Twice per month, on the ____ and ____ <input type="checkbox"/> Weekly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually
_____	\$ _____	
_____	\$ _____	
_____	\$ _____	
_____	\$ _____	
Total: \$ _____		

5. Account Service Options

a. Bank Instructions

By adding your Bank Instructions to your account you will enable purchases and redemptions to / from your checking or savings via telephone or online. Complete this section below and **attach a bank statement, voided check, or savings deposit slip (showing the bank account number & registration)**.

Please Note: For redemptions, it may take up to 10 business days to test the bank instructions with your bank during the “pre-note” period.

Purchases & Redemptions by ACH Yes No

Enables you to make purchases from, or send withdrawal proceeds to, your checking or savings account. There is no fee for this service.

Wire Redemptions Yes No

Funds may be wired to your bank account via the Federal Reserve. (Your bank may have a different ABA # for wires.) There is a fee of \$7.50 (per fund) for this service.

Full name of bank account owner

Name of bank

Full name of joint bank account owner

Checking Savings

The signature of ALL bank account owners is required. If there is another person (i.e. in addition to the BlackRock account owner), their signature(s) is required to authorize using the bank account:

ABA routing number (9 digits)



Signature of other bank account owner

Account number at your bank

b. Reduced Sales Charge

The sales charge on Class A Units may be reduced or eliminated using **Rights of Accumulation (“ROA”)** or **Letter of Intent (“LOI”)**. While ROA remains on your account(s), an LOI is limited to purchases made during a 13-month period (review the Fund’s prospectus to determine eligibility).

Rights of Accumulation (ROA) – The market value of your existing BlackRock holdings are added to the current purchase amount to determine the qualifying breakpoint (i.e. a \$15,000 purchase added to \$90,000 in existing BlackRock funds would meet the \$100,000 breakpoint).

We will automatically link this account with all eligible accounts listed below for Rights of Accumulation.

Letter of Intent (LOI) – I agree to the Letter of Intent provisions of the Program Description. I understand that the current market value (as of the date of commencement of the LOI) in any of the qualifying accounts listed below will count toward meeting this breakpoint. Although I am not obligated to purchase, and the Fund is not obligated to sell, I intend to invest an aggregate amount in BlackRock Funds needed to meet the breakpoint checked below over a 13-month period beginning on _____
Date (mm/dd/yyyy)

Using ROA, LOI or a combination of both, I expect to reach the following breakpoint on Class A Unit purchases:

(Check one) \$25,000 \$50,000 \$100,000 \$250,000 \$500,000 \$750,000 \$1,000,000

Accounts to include toward a reduced sales charge (ROA and/or LOI):

Please list account numbers (or Social Security numbers) held **directly with BlackRock** that you wish to combine for ROA and/or LOI. **NOTE:** If you wish to include assets in BlackRock funds held through a financial intermediary, **you must include the most recent statement** detailing the holdings (and purchases for LOI) in BlackRock funds.

BlackRock account number

BlackRock account number

BlackRock account number

I have other BlackRock fund investments that are not held at BlackRock – I am including a copy of the most recent statement showing my investments a current market value (for LOI, showing purchases made during the LOI period)

c. Purchases at NAV

If you qualify for purchases with no upfront sales charge (“NAV”), please indicate the reason here (if no reason is provided or you do not qualify, your account will not be processed with NAV).

I certify that I qualify for a sales charge waiver for the following reason: _____
(See the Program Description for available reasons)

d. Telephone Exchange and Redemption

Your account **will automatically allow redemptions and exchanges via telephone** unless you check the box below. Details about these privileges are available in the Program Description.

NOTE: Checking the box below will also turn off exchanges & redemptions made via the **internet**.

I do **NOT** want Telephone Redemption or Exchange

e. Automatic Reallocation

The Plan allows you the ability to invest contributions in the Plan and then systematically reallocate that investment into up to four other Investment Options. There is a minimum of \$25 per destination Investment Option.

To establish this feature with your new account, you must include the **BlackRock CollegeAdvantage Reallocation Form** along with this application. **Please be aware:** Any Reallocation Forms received *after* the new account is established will count toward your annual Reallocation Limit.

Please note: If you don't see a particular service option or need an additional form to complete your request, you can locate more on our website at www.blackrock.com on our “[Forms & Applications](#)” page, or by calling us.

6: Signature(s), Taxpayer Identification Certification and Authorization

We must have your signature to process your Application and to certify your taxpayer identification number.

I certify that the information contained herein is true and correct. I certify that I, the Successor Owner (if any) and my Beneficiary(ies) are US Citizens or resident aliens. The Ohio Tuition Trust Authority (Tuition Trust) is authorized to recognize only my signature below for the withdrawal of funds or transactions of any other business regarding this account until written notice to the contrary is received by the Tuition Trust.

My signature indicates that I have read and agree to the terms of (i) the current Program Description, including any supplements and amendments, (ii) the Participation Agreement dated June 18, 2014 or later and (iii) this Application, each as relating to the BlackRock CollegeAdvantage 529 Savings Plan offered exclusively through the Tuition Trust. I understand that I should consult a financial or legal advisor if I have questions about these terms. This Application, together with the Participation Agreement incorporated herein, constitutes my contract with the Tuition Trust with respect to amounts invested pursuant to this Application.

If participating in electronic fund transfers, my signature below authorizes the Tuition Trust to initiate debit entries to my bank account indicated above, and the bank indicated above to debit the account. I authorize the Tuition Trust to make a follow-up attempt in retrieving those monies which are denied due to insufficient funds. I agree to indemnify and hold harmless my bank, BlackRock, and the Tuition Trust for any loss, liability or expense incurred from acting on these instructions. I also reserve the right to revoke this authorization by written notification to the Tuition Trust, with reasonable time given to implement my request.

To help the U.S. Government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies persons opening accounts. To comply, BlackRock requires the investor's name, address, date of birth and government-issued identification number (generally, a Social Security Number) and other information that may help identify the investor; and may ask for copies of related documentation and may consult third-party databases to help verify the investor's identity. I have read and I understand the prospectus which explains the risks of opening this account if I do not provide all requested identification materials or if my identity cannot be adequately verified in accordance with U.S. Government requirements.

In accordance with federal law, I understand the administrator for the BlackRock CollegeAdvantage® 529 Plan is required to obtain my name, residential or business address, Social Security or Tax Identification number, driver's license or state-issued I.D. card number, and date of birth in order to verify my identity and for tax reporting purposes. The information I provide may be shared with third parties for the purpose of verification subject to the terms of the BlackRock CollegeAdvantage® 529 Savings Plan's privacy policies. The Tuition Trust is unable to accept this new account if any required information is not provided. If the Program Administrator is unable to verify the Account Owner's identity, this account will be closed and the assets in the account distributed at the then-current unit value.

Tax Certification - Under penalties of perjury, I/we certify that:

- ▶ The number shown on this form is the correct taxpayer identification number, and
- ▶ The investor is not subject to backup withholding because the investor: (a) is exempt from backup withholding, or (b) has not been notified by the Internal Revenue Service (IRS) that the Investor is subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified the investor that they are no longer subject to backup withholding, and
- ▶ The applicant is a U.S. person (including a U.S. resident alien) or
- ▶ Alternatively, under penalties of perjury, the applicant certifies that they are subject to withholding. If so, check here
- ▶ The FATCA code(s) entered on this form (if any) indicating the investor is exempt from FATCA reporting is correct.
CODE: _____

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.



Signature of account owner, custodian, trustee, etc.

Date (mm/dd/yyyy)

Title / Capacity (if any)



Questions? Call us at **1-866-529-8582**, Monday through Friday between 8:00 AM and 6:00 PM ET or visit us online at www.blackrock.com/collegeadvantage.

Not FDIC Insured | May Lose Value | No Bank Guarantee

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Lit. No. 529-NA-APP-0518

Financial Intermediary: Use this form to certify that the Account Owner(s) are eligible to purchase Class I Units in an account held directly at BlackRock. Consult the BlackRock CollegeAdvantage 529 Plan Program Description for additional details about the eligibility of this class of Units. A selling agreement must be in place for the BlackRock CollegeAdvantage 529 Plan *prior* to conducting business within the Plan.

Effective July 15, 2019, Class I Units became available to certain investors purchasing through a Financial Intermediary (including Registered Investment Advisors). This class of Units is not available to all investors; therefore this form is necessary to review class availability and to indicate to our team that the 529 Account Owner is able to purchase these Units.

New or Existing Account?

I am requesting Class I Units for the attached **new** account application.

To open any new account at BlackRock, please include our **BlackRock CollegeAdvantage 529 New Account Application** and indicate the purchase of Class I Units in the "Investment Allocation" section.

I am requesting Class I Units be added to the following *existing* account numbers and direct all future contributions (including any existing Automatic Investment Plan) be made into Class I Units of the current Investment Option(s) within the account.

Account Owner's name

Beneficiary's name

BlackRock Account Number

Account Owner's name

Beneficiary's name

BlackRock Account Number

Account Owner's name

Beneficiary's name

BlackRock Account Number

Share Class Eligibility


In order to invest in Class I Units, you (the financial professional) must certify the investor is eligible to purchase these Units by checking the box below:

- This account is for a fee-based / advisory account held through a Financial Intermediary (including an RIA)
- The account is on a platform that charges a transaction-based sales commission outside of the Plan and the financial intermediary has entered into an agreement with the Distributor to offer class I shares

Name of Financial Intermediary (firm)

Name of Advisor / RIA

Advisor / RIA Signature

 **Questions?** Call us at **866-529-8582**, Monday through Friday between 8:00AM and 6:00PM ET or visit us online at blackrock.com/collegeadvantage.

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Lit. No. 529-CLASS-I-08-19

Single Strategy Investment Options

Target-Date & Target Risk Options

▶ **Equity Options**

Advantage International Option
 Advantage Large Cap Core Option
 Capital Appreciation Option
 Equity Dividend Option
 iShares® Core S&P 500 Index Option
 iShares® Core S&P Mid-Cap ETF Option
 iShares® Core MSCI EAFE Index Option
 iShares® Russell 2000 Index Option
 Voya Small Company Option

▶ **Balanced Options**

Global Allocation Option
 Multi-Asset Income Option

▶ **Fixed Income**

GNMA 529 Option
 Inflation Protected Bond Option
 High Yield Bond Option
 Strategic Income Opportunities Option
 Wells Fargo Core Bond Option

▶ **Money Market Options**

BlackRock Money Market Option

▶ **Target-Date Investment Options**

BlackRock College 2038 Option
 BlackRock College 2035 Option
 BlackRock College 2032 Option
 BlackRock College 2027 Option
 BlackRock College 2024 Option
 BlackRock College 2020 Option
 BlackRock College Enrollment Option

▶ **Target-Risk Investment Options**

Aggressive Growth Target-Risk
 Growth Target-Risk
 Moderate Target-Risk

For additional information on our Investment Options, please review the BlackRock CollegeAdvantage 529 Plan brochure, call us at **866-529-8582** or visit our website at www.blackrock.com/collegeadvantage.

Any investment in a BlackRock CollegeAdvantage® mutual fund-based investment option is not insured or guaranteed by the FDIC or any other governmental agency or other party, including the custodian/state of Ohio, the Tuition Trust, BlackRock or any of the mutual fund firms under contract with OTTA. An investment in a BlackRock CollegeAdvantage® mutual fund-based investment option is not a direct investment in a mutual fund itself. Participants assume all investment risk of an investment in the BlackRock CollegeAdvantage® Plan, including the potential loss of principal and liability for penalties such as those levied for non-educational withdrawals. Regular investing does not ensure a profit or protect against a loss in a declining market. The amount actually available for withdrawal will depend on the investment performance of the investment options chosen.

Not FDIC Insured | May Lose Value | No Bank Guarantee

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