



12400 Coit Road  
Suite 700  
Dallas, TX 75251  
866-834-1040 (office)  
866-763-9136 (fax)

LF126

Form #

Branch #

Account #

FA #

### 529 Plan Due Diligence Form (Internal Use Only)

Account Owner Name	Donor State of Residence	Beneficiary State of Residence
Address of Account Owner	Original Amount Invested	Source of Funds
Name of Beneficiary	Birthday of Beneficiary	Current Age of Beneficiary
Name of 529 College Savings Plan	Sponsoring State of 529 Plan	
RJ Form 1529 "529 Disclosure" attached Y/N	529 Plan documents attached Y/N	

#### I. Complete for the Share Class Selected

Class	Sales Charge	Expected Investment Time Horizon	Describe Why This Share Class Was Selected
A	Maximum Front End Load _____%	> 8 years Y N	
C	Back-End Yr 1 CDSC _____%	< 8 years Y N	
Other	Describe:		
<b>Select factors impacting share class recommendation:</b>			
Plan has C share auto-conversion feature	Plan C share Admin fees are below 50bp	Rollover/Transfer at NAV	Investor anticipates funding for K-12

#### II. Complete for State Plan Selected

In State Plan	Out of State Plan
Check all that apply: <input type="checkbox"/> State tax deduction and/or other state benefits are available to the account owner or donor. <input type="checkbox"/> Lower expenses <input type="checkbox"/> Portfolio choices better suited to the client's needs	Check all that apply: <input type="checkbox"/> State tax deduction and/or other state benefits are available to the account owner or donor. <input type="checkbox"/> Lower expenses <input type="checkbox"/> Portfolio choices better suited to the client's needs <input type="checkbox"/> Other reasons listed below (required)
<b>Additional comments on why this plan was selected:</b>	

#### III. Financial Professional Certification:

**With respect to any recommendations regarding plan selection and share class, I considered state of residence, investment time horizon (including beneficiaries age and anticipated use of funds), applicable sales charges, expenses, management fees, and breakpoint discounts, including rights of accumulation and letters of intent. I have also provided the relevant prospectus to the investor.**

Financial Professional Signature	Date	Designated Principal Signature	Date	8 9/10
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