

# Uniform Gift/Transfer to Minor (UGMA/UTMA) Account Application



**Homestead**  
Funds

Use this form to open a UGMA/UTMA account with Homestead Funds. When the minor reaches the age of custodial termination the custodian will no longer have the authority to act as custodian and financial transactions will not be permitted until the account has been transferred into an individual account for the former minor.

Return your completed application to Homestead Funds by mail to:

**Regular Mail**

Homestead Funds  
c/o of Ultimus Fund Solutions, LLC  
P.O. Box 46707  
Cincinnati, OH 45246

**Overnight Mail**

Homestead Funds  
c/o of Ultimus Fund Solutions, LLC  
225 Pictoria Drive  
Suite 450  
Cincinnati, OH 45246

Before completing this application, see the prospectus, which is available at [homesteadadvisers.com](http://homesteadadvisers.com). If you have any questions, call us at 800.258.3030.

## Important Notice — The USA Patriot Act

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.

When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. This information will be verified to ensure the identity of all individuals opening a mutual fund account.

## 1. Ownership

We cannot process your application if the information below is not provided. Homestead Funds does not accept accounts registered to foreign individuals, including foreign correspondent accounts.

Minor's First Name

Middle Initial

Last Name

Social Security Number

Date of Birth (mm/dd/yyyy)

State of Residence

**Check one:**

☐

U.S. Citizen

☐

U.S. Resident

Adult Custodian's First Name

Middle Initial

Last Name

Social Security Number

Date of Birth (mm/dd/yyyy)

**Check one:**

☐

U.S. Citizen

☐

U.S. Resident

Email address

Daytime Telephone Number (in case we have questions)

Be sure to sign your completed form (Section 11).

You must provide a valid email address. All shareholders and account custodians (if applicable) will use the email address listed on the application to create their online account log-in. No personal information will be sent to the email address.

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## 2. Address

Residential Street Address for the Adult Custodian

City

State

Zip Code

◆ If the minor's residential street address is different than above please provide below:

Minor's Residential Street Address

City

State

Zip Code

◆ If you want account correspondence sent to an address other than the custodian's street address.

Custodian's Mailing Address (may be a P.O. Box)

City

State

Zip Code

## 3. Online Access and Electronic Delivery

If you have existing Homestead Funds accounts, we default to linking this account to your online profile so you may view this account under your current log-in. If you do not want this option, you may opt out below. You are able to receive electronic notification of certain Homestead Funds documents instead of receiving them by mail.

### Check to Opt Out

☐

I DO NOT want to view this account online under my current Homestead Funds log-in.

### Check to Opt In

☐

I elect to receive notification of the following checked fund documents electronically.

☐

Trade Confirmations

☐

Quarterly Account Statements

☐

Prospectus & Shareholder Reports

## 4. Phone Services

We will act on your instructions to exchange or sell shares by phone unless you check the box to opt out of those services below. If you have bank instructions on file, phone purchases are automatically allowed for most account types.

**Neither Homestead Funds nor the Transfer Agent will be liable for properly acting upon telephone instructions believed to be genuine.**

☐

I DO NOT want to make exchanges and distributions by phone.

A P.O. Box will not be accepted as a residential street address. A rural route, APO or FPO address will be accepted.

The custodian's address will be used as the address of record. If the minor has a different address from the custodian, the minor will receive copies of statements to their address.

Please note that for phone purchases we must have bank instructions on file. Complete **Section 9**.

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## 5. Investment Amount

**Write in the amount of your initial investment.**

Total Dollars (\$500 minimum)

\$

**Indicate method of investment. Check one:**

☐

By check

We accept personal checks with preprinted name and address made payable directly to Homestead Funds. We do not accept third party checks, credit card convenience checks, bank account starter checks, cash or cash equivalents (including money orders, traveler's checks, or bearer bonds).

☐

By ACH transfer

Upon receipt of this application, we will initiate an electronic funds transfer from the account you indicate in Section 9.

☐

By wire transfer

Call us at 800.258.3030 for transfer instructions.

If you are opening your new account with a check, wire or ACH transfer, complete this section. If you are funding your account only by establishing the Automatic Investment Plan, you may skip to Section 7.

If you are investing by ACH there is a maximum daily investment amount of \$100,000 per account. There is no daily maximum if you are investing by check or wire.

## 6. Fund Selections

**Indicate how the amount in Section 5 should be allocated.**

Daily Income Fund (168)	\$ <input type="text"/>	or	<input type="text"/>	%
Short-Term Government Securities Fund (170)	\$ <input type="text"/>	or	<input type="text"/>	%
Intermediate Bond Fund (171)	\$ <input type="text"/>	or	<input type="text"/>	%
Short-Term Bond Fund (172)	\$ <input type="text"/>	or	<input type="text"/>	%
Stock Index Fund (174)	\$ <input type="text"/>	or	<input type="text"/>	%
Value Fund (176)	\$ <input type="text"/>	or	<input type="text"/>	%
Small-Company Stock Fund (178)	\$ <input type="text"/>	or	<input type="text"/>	%
International Equity Fund (180)	\$ <input type="text"/>	or	<input type="text"/>	%
Growth Fund (182)	\$ <input type="text"/>	or	<input type="text"/>	%

If you are opening your new account with a check, wire or ACH transfer, complete this section. If you are funding your new account only by establishing the Automatic Investment Plan, you may skip to Section 7.

**Total** (Must match amount from Section 5) \$  or 100 %

### Need Help?

Homestead Funds Client Service Representatives are available on business days from 8:30 a.m. to 5:00 p.m. E.T.

Call **1.800.258.3030**

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## 7. Automatic Investment Plan

In addition to or instead of providing an initial investment in **Section 5**, you may elect to fund your account by making regular investments transferred directly from your paycheck (complete **Section A**) or bank account (complete **Section B**).

### A. Payroll Deduction

Select the funds you will be investing in. You do not need to indicate the investment amount at this time.

- |  |  |
|--|--|
| <input type="checkbox"/> Daily Income Fund (168)                     | <input type="checkbox"/> Value Fund (176)                |
| <input type="checkbox"/> Short-Term Government Securities Fund (170) | <input type="checkbox"/> Small-Company Stock Fund (178)  |
| <input type="checkbox"/> Intermediate Bond Fund (171)                | <input type="checkbox"/> International Equity Fund (180) |
| <input type="checkbox"/> Short-Term Bond Fund (172)                  | <input type="checkbox"/> Growth Fund (182)               |
| <input type="checkbox"/> Stock Index Fund (174)                      |  |

Complete this section to set up an account for receipt of payroll deductions to be sent by your employer. We will mail your new account numbers and other information you will need to provide to your payroll office to initiate deposits.

### B. ACH transfer from Bank Account

Transfer frequency:

- ☐ Monthly ☐ Quarterly ☐ Semi-annually ☐ Annually

Purchase Date (mm/dd/yyyy) — Your automatic purchases will occur on the day you provide or the next business day if the market is closed on your specified day. If you select the 29th, 30th or 31st, for any month without that many days, the system will schedule the last business day of the month for your purchase.

/  /

Indicate how much you want to automatically purchase into each fund.

Daily Income Fund (168)	\$ <input type="text"/>
Short-Term Government Securities Fund (170)	\$ <input type="text"/>
Intermediate Bond Fund (171)	\$ <input type="text"/>
Short-Term Bond Fund (172)	\$ <input type="text"/>
Stock Index Fund (174)	\$ <input type="text"/>
Value Fund (176)	\$ <input type="text"/>
Small-Company Stock Fund (178)	\$ <input type="text"/>
International Equity Fund (180)	\$ <input type="text"/>
Growth Fund (182)	\$ <input type="text"/>

Complete this section to sign up for the Automatic Investment Plan and have money moved regularly from your bank account to your fund account. You must also complete **Section 9**.

Total \$

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## 8. Cost Basis Election

Homestead Funds will report cost basis information to both shareholders and the Internal Revenue Service (IRS) on mutual fund shares acquired and subsequently redeemed after January 1, 2012. In order to deliver this service to you, we ask that you select a cost basis accounting method for your new account. If you do not elect a method, our default method of Average Cost will be used.

### Please choose one of the following available methods:

- ☐ **Average Cost** — the purchase price of all covered shares in the account are averaged
- ☐ **First In, First Out** — depletes shares beginning with the earliest acquisition date
- ☐ **Last In, First Out** — depletes shares beginning with the most recent acquisition date
- ☐ **High Cost** — depletes shares beginning with the most expensive shares
- ☐ **Low Cost** — depletes shares beginning with the least expensive shares
- ☐ **Specific Lot Identification** — depletes shares according to the lots chosen by the shareholder. FIFO will be used for shares withdrawn due to a systematic withdrawal plan and in cases where the lots you designate are insufficient or unavailable.

Please consult your tax advisor to determine which cost basis accounting method best suits your individual tax situation.

If we cannot determine your election method you will be defaulted to Average Cost.

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## 9. Bank Information

By completing this section, you authorize Homestead Funds to deduct money from your bank account via ACH to purchase shares into your Homestead Funds account and to send redemption proceeds via wire or ACH to your bank account of record.

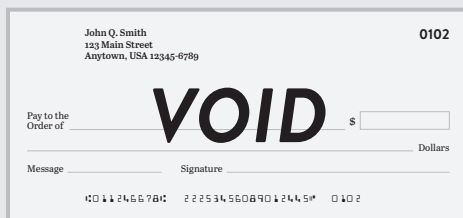
**Be sure to complete this section if you:**

- Elected to send your investment by wire or ACH transfer (**Section 5**)
- Signed up for the Automatic Investment Plan and chose to have money moved by ACH transfer from your bank account (**Section 7**)
- Elected to have distributions deposited directly in your bank account (**Section 10**)
- Want the option of having redemption proceeds deposited directly in your bank account

**Account type. Check one:** ☐ Checking ☐ Savings

Your request cannot be processed without a voided check or deposit slip for the account you wish to designate as your bank account of record unless you opt for us to use your initial purchase check.

**Attach voided check here.**



☐ Check this box if you wish to use your initial purchase check enclosed with this application to establish banking instructions instead of including an additional voided check.

Checks must be preprinted with your name and address. At least one common name must match exactly between your Homestead Funds and bank account. We do not accept starter checks. If you do not have a preprinted check please include a letter from your bank, on their letterhead, confirming your bank account registration, account number and routing number.

## 10. Dividends and Capital Gains

**All distributions will be automatically reinvested in your fund account unless you make a different election here.**

**Dividends and Short-Term Capital Gains:**

- ☐ Pay by Check Sent to Address of Record
- ☐ Pay by Direct Deposit to Bank Account  
You must also complete **Section 9**.

**Long-Term Capital Gains:**

- ☐ Pay by Check Sent to Address of Record
- ☐ Pay by Direct Deposit to Bank Account  
You must also complete **Section 9**.

**You must sign the next page in Section 11.**

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## 11. Certifications and Signatures

By certifying this application, I represent and warrant that:

1. I have the full right, power and authority to make the investment applied for and I am of legal age in my state of residence.
2. I have read the Homestead Funds prospectus and this application and agree to be bound by the terms. I also agree that any shares purchased now or later are and will be subject to the terms of the Homestead Funds' prospectus as revised from time to time. The Homestead Funds prospectus is available at **homesteadadvisers.com** or by calling **800.258.3030**.  
I acknowledge that under certain circumstances specified by state law, Homestead Funds may be required to transfer my account assets to my state as abandoned property (i.e. escheated). I may consult my state's website or call my state government's escheatment customer service number for more details.
3. I am a U.S. citizen or resident and I certify, under penalty of perjury, that:
  - a. The Social Security Number shown on this form is my correct Taxpayer Identification Number.
  - b. I am not subject to backup withholding because: I am exempt from backup withholding, OR I have not been notified that I am subject to backup withholding as a result of a failure to report all interest or dividend, OR The Internal Revenue Service has notified me that I am no longer subject to backup withholding (Strike out this item (b) if you have been notified that you are subject to backup withholding).
4. I additionally represent and warrant that:
  - a. I understand that when the minor reaches the age of "Trust Termination" for this account I will no longer have the authority to act as custodian and financial transactions will not be permitted until I have been removed as custodian from the account.
5. I acknowledge that adverse income tax consequences (including possible penalties) may apply for providing false or incorrect information and certify that the information provided is accurate and correct.
6. The information in this application pertaining to account ownership, investing, funding, options and this disclosure will apply to any new fund into which my shares may be exchanged.
7. If I request transfers to or from my bank account in this application or at any time, including by telephone, electronically or otherwise, you are authorized to make those requested transfers (and to make, if necessary, adjusting transfers if any amounts are transferred in error). I understand that I can end this authorization at any time by notifying you in writing or by telephone.
8. I understand that mutual fund shares are not deposits or obligations of, or guaranteed or endorsed by, any bank, and are not federally insured by the Federal Deposit Insurance Corporation, the Federal Reserve Board, or any other agency of the U.S. Government, and that an investment in mutual fund shares involves risks, including the possible loss of principal.

**The Adult Custodian must sign below.**

Adult Custodian's Signature

Date (mm/dd/yyyy)

 /  / 

Be sure to sign this section. We cannot act on your instructions without your signature.