

Higher Education Savings Plan  
CollegeAccess 529  
August 4, 2021

**Compliance Schedule: Calendar Year 2020-Calendar Q4**

	<b>Required Action</b>	<b>Target Date</b>	<b>Date Completed</b>
1.	Quarterly conference call and performance review	Nov 15	Nov 4
3.	Allianz to provide any recommendations for fund and & asset allocation changes	Oct 15	Sep 25
4.	Council approves new funds	Nov/Dec SDIC mtg	Oct 15

**Compliance Schedule: Calendar Year 2021-Calendar Q1**

	<b>Required Action</b>	<b>Target Date</b>	<b>Date Completed</b>
1.	Quarterly conference call and performance review (qtr. & annual)	Feb 15	Feb 4
2.	Annual Report to Governor	Feb 1	Jan 26
3.	Confirmation of 65 bps expense for SD-D accts	Feb 28	Feb 28
4.	Program Mgr. send Annual Report to Municipal Securities Rulemaking Bd.	Mar 31	Mar 30
5.	Review of VPD insurance certificates	Mar 31	Mar 24
6.	Review CollegeAccess financials	Mar 31	Mar 29
7.	Annual Audit Completed	Mar 31	Mar 29

**Compliance Schedule: Calendar Year 2021-Calendar Q2**

	<b>Required Action</b>	<b>Target Date</b>	<b>Date Completed</b>
1.	Quarterly conference call and performance review with VPD	May 15	May 5
2.	Review Virtus' financials	May 31	May 19
3.	Review VP Distributor's financials	May 31	May 19

**Compliance Schedule: Calendar Year 2021-Calendar Q3**

	<b>Required Action</b>	<b>Target Date</b>	<b>Date Completed</b>
1.	Wire transfer of scholarship funds from VPD to Dakota Corps Scholarship Fund (Dakotah Bank – Aberdeen)	July 21	July 28 – late because of Virtus processing error
2.	VPD pay Scholarship Administrator (Board of Regents) \$25k-\$35k	July 31	July 20
3.	Quarterly conference call and performance review with VPD	Aug 15	July 27
4.	Adjust \$45,000 salary by CPI change and submit expenses to Program Manager	July 30	July 28
5.	Council approves independent auditor (PwC) for the current calendar year	Aug 31	
6.	Communication to VPD regarding approving of auditor	Within 2 days of Council approval	
7.	VPD reimbursed Council for expenses (SDIO salary, conference, supplies)	August 31	

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