

Higher Education Savings Plan
CollegeAccess 529
11/4/2020

Compliance Schedule: Calendar Year 2020-Q2

	Required Action	Target Date	Date Completed
1.	Quarterly conference call and performance review	May 15	May 6
2.	Review AGID financials	May 31	May 19
3.	Review AAM financials	May 31	Aug 11*

Compliance Schedule: Calendar Year 2020-Q3

	Required Action	Target Date	Date Completed
1.	Wire transfer of scholarship funds from Allianz to Dakota Corps Scholarship Fd.	July 21	July 20
2.	Allianz pay Scholarship Administrator	July 31	July 31
3.	Quarterly conference call and performance review	Aug 15	Aug 12
4.	Adjust \$45,000 salary by CPI change and submit expenses to Program Manager	July 30	July 14
5.	Council approves independent auditor for the current calendar year	Aug 31	Aug 27
6.	Communication to Allianz regarding approving of auditor	Within 2 days of Council approval	Aug 27
7.	Program Mgr. reimburse Council for expenses	August 31	Aug 6

Compliance Schedule: Calendar Year 2020-Q4

	Required Action	Target Date	Date Completed
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-Q1

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

*Received Aug 11. We prompted them to provide. Completion of the reports and transmission to us was believed to be affected by COVID related disruptions to some of their work processes.