

Higher Education Savings Plan  
CollegeAccess 529  
1/23/2020

**Compliance Schedule: Calendar Year 2019-Q2**

|    | <b>Required Action</b>                           | <b>Deadline</b> | <b>Date Completed</b> |
|----|--|-----------------|-----------------------|
| 1. | Quarterly conference call and performance review | April 30        | April 23              |
| 2. | Review AGID financials                           | April 30        | May 15                |
| 3. | Review AGIA financials                           | April 30        | May 15                |

**Compliance Schedule: Calendar Year 2019-Q3**

|    | <b>Required Action</b>  | <b>Deadline</b>                   | <b>Date Completed</b> |
|----|---|-----------------------------------|-----------------------|
| 1. | Wire transfer of scholarship funds from Allianz to Dakota Corps Scholarship Fd. | July 21                           | July 18               |
| 2. | Allianz pay Scholarship Administrator   | July 21                           | July 18               |
| 3. | Quarterly conference call and performance review                                | July 31                           | Aug 8                 |
| 4. | Adjust \$45,000 salary by CPI change and submit expenses to Program Manager     | July 30                           | Aug 8                 |
| 5. | Council approves independent auditor for the current calendar year              | Aug 31                            | Aug 26                |
| 6. | Communication to Allianz regarding approving of auditor                         | Within 2 days of Council approval | Aug 26                |
| 7. | Program Mgr. reimburse Council for expenses                                     | August 31                         | Nov 4                 |

**Compliance Schedule: Calendar Year 2019-Q4**

|    | <b>Required Action</b>  | <b>Deadline</b>          | <b>Date Completed</b> |
|----|---|--------------------------|-----------------------|
| 1. | Quarterly conference call and performance review                | October 31               | Nov 7                 |
| 3. | Allianz recommendations for fund and & asset allocation changes | October 15<br>December 1 | Oct 10                |
| 4. | Council approves new funds                                      | Nov/Dec SDIC mtg         | Nov 21                |

**Compliance Schedule: Calendar Year 2020-Q1**

|    | <b>Required Action</b>   | <b>Deadline</b> | <b>Date Completed</b>       |
|----|--|-----------------|-----------------------------|
| 1. | Quarterly conference call and performance review (qtr. & annual)       | January 31      | Scheduled Feb 5, 9am        |
| 2. | Annual Report to Governor  | Feb 1           | Prepared, to be sent Jan 31 |
| 3. | Confirmation of 65 bps expense for SD-D accts                          | February 28     |                             |
| 4. | Program Mgr. send Annual Report to Municipal Securities Rulemaking Bd. | March 31        |                             |
| 5. | Review of Allianz insurance certificates                               | March 31        |                             |
| 6. | Review CollegeAccess financials  | March 31        |                             |
| 7. | Annual Audit Completed   | March 31        |                             |