

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



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 or joint account for the former minor.

Return your completed application to Homestead Funds using the postage-paid envelope provided, or mail to:

### Regular Mail

Homestead Funds  
P.O. Box 219486  
Kansas City, MO 64121-9486

### Overnight Mail

Homestead Funds  
330 W. 9th Street, 1st Floor  
Kansas City, MO 64105-1514

Before completing this application, see the prospectus, which is available at [homesteadfunds.com](http://homesteadfunds.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

Daytime Telephone Number (in case we have questions)

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Be sure to sign your completed form (Section 12).

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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 minor's street address**

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

City  State  Zip Code

## 3. Electronic Delivery

If you consent, an e-mail will be sent each time your fund materials are available for viewing online. Instructions for accessing your materials will be provided in the e-mail. You may revoke e-delivery consent at any time allowing you to receive printed materials.

**I elect to receive notification of the following checked fund documents electronically to the e-mail address provided below:**

Account Statements     Prospectus & Shareholder Reports

E-mail address

## 4. Telephone and Internet Services

We will act on your instructions to buy, exchange or sell shares by phone and/or online, unless you check the boxes below to opt out of those services.

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

**Check to Opt Out:**

I DO NOT want to be able to authorize **purchases** by phone or online

I DO NOT want to be able to authorize **exchanges** between identically registered accounts by phone or online

I DO NOT want to be able to authorize **redemptions** by phone or online

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

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

Please note: no confidential information will be sent over the Internet and confirmation statements confirming individual transactions are not able to be sent electronically at this time.

Please note that for phone and online purchases we must have bank instructions on file. Complete Section 10.

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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 10.
- 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 Investing Program, you may skip to Section 7.

All purchases must be in U.S. dollars.

## 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"/>	%
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"/>	%
<b>Total</b> (Must match amount from Section 5)	\$ <input type="text"/>	or	100	%

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 Investing Program, you may skip to Section 7.

### 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 Investing Program

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"/> Short-Term Bond Fund (172)                  | <input type="checkbox"/> International Equity Fund (180) |
| <input type="checkbox"/> Stock Index Fund (174)                      | <input type="checkbox"/> Growth Fund (182)               |

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.

/  /

Complete this section to sign up for the Automatic Investing Program and have money moved regularly from your bank account to your fund account. You must also complete **Section 10**.

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"/>
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"/>
<b>Total</b> \$ <input type="text"/>	

## 8. Daily Income Fund Checkwriting (Optional)

Sign the signature card as you will sign your checks. In signing this signature card you agree to be subject to the rules and regulations of State Street Bank, as amended from time to time, and subject to the conditions printed in the Homestead Funds prospectus.

Print the Adult Custodian's Name	Signature
<input type="text"/>	<input type="text"/>

This service is available only to Daily Income Fund investors. There is a \$100 per check minimum. This account will be charged a nominal fee for checkbooks. Minors may not sign checks.

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## 9. 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  
Default if no election is made.
- 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
- Loss/Gain Utilization** — depletes shares in the following order: short term losses, long term losses, break even shares, long term gains, short term gains
- Specific Lot Identification** — depletes shares according to the lots chosen by the shareholder

◆ **If Specific Lot Identification**

You will need to select a secondary method to be used for systematic redemptions and in cases where the lots you designate are insufficient or unavailable.

**Please select a secondary cost basis accounting method:**

- First In, First Out**  
Default if no election is made.
- Last In, First Out**
- High Cost**
- Low Cost**
- Loss/Gain Utilization**

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.

Only choose a secondary cost basis method if you choose Specific Lot Identification as your primary method.

### Need Help?

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Call **1.800.258.3030**

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## 10. 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 Investing 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 11**)
- 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.

## 11. 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 10.

Long-Term Capital Gains:

- Pay by Check Sent to Address of Record
- Pay by Direct Deposit to Bank Account  
You must also complete Section 10.

**You must sign the next page in Section 12.**

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## 12. 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 **homesteadfunds.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.