

# Submit my529 Forms with DocuSign

## A guide to help advisors send client forms with secure e-signatures

To meet the demand for electronic signatures, my529 accepts DocuSign with knowledge-based authentication for document processing—it's simple and secure.

Financial advisory firms can use DocuSign verification once they register with my529. Each form will have the  symbol on the lower right of the form.

### 1. Which forms will my529 accept with DocuSign?

- Form 100 (Individual Account Agreement)
- Form 102 (Institutional Account Agreement)
- Form 104 (UGMA/UTMA Account Agreement)
- Form 200 (Automated Contributions)\*
- Form 210 (Incoming Direct Rollover: 529 Plan or Coverdell ESA)\*\*
- Form 300 (Withdrawal Request)
- Form 310 (Roth IRA Rollover Request)
- Form 400 (Internal Transfers)
- Form 405 (Option Change)
- Form 710 (Entity Limited Power of Attorney Authorization)
- Form 760 (Manual Bank Account Authorization for Financial Advisor Withdrawals)

\* Only the account owner can use DocuSign for Form 200.

\*\* While my529 accepts Form 210 in DocuSign format, other 529 plans may not. Check your plan to confirm.



### 2. Which authentication method will my529 accept?

Although DocuSign offers several methods of authentication, my529 will only honor knowledge-based authentication using **LexisNexis**.

my529 requires a DocuSign Certificate of Completion with each completed envelope you submit.

## Acceptable




my529 will only honor a Certificate of Completion using **LexisNexis** authentication.

Certificate Of Completion		Status: Completed	
Envelope ID: 6EE5802A83D94DCB1738B123AAF7CD7 Subject: Get ready to DocuSign!			
Envelope Type: Source Envelope: Document Pages: 1 Certificate Pages: 1 AutoNav: Enabled EnvelopeID Stamping: Enabled Time Zone: (UTC-08:00) Pacific Time (US & Canada)			
Signatures: 1 Initials: 0		Envelope Originator: John Smith 1301 2nd Ave Suite 2000 Seattle, WA 98104 jsmith@yourdomain.com IP Address: [REDACTED]	
Record Tracking		Holder: John Smith	
Status: Original 4/15/2016 2:39:12 PM		Location: Company ABC jsmith@yourdomain.com	
Signer Events	Signature	Timestamp	
John Smith jsmith@yourdomain.com Company ABC Security Level: Email, Account Authentication (None), Authentication		Sent: 4/15/2016 2:40:13 PM Viewed: 4/15/2016 2:41:23 PM Signed: 4/15/2016 2:41:35 PM	
Using IP Address: [REDACTED]			
Authentication Details	Signature	Timestamp	
ID Check: Transaction: 11020861358794 Result: passed Vendor ID: LexisNexis		Sent: 4/15/2016 2:40:13 PM Viewed: 4/15/2016 2:41:23 PM Signed: 4/15/2016 2:41:35 PM	
Question Details: passed person.age.real passed county.lived.single.real passed person.state.real passed livedat.subdivision.real passed property.street.in.city.real passed county.lived.single.real			
In Person Signer Events	Signature	Authentication Details	
Editor Delivery Events	Status	ID Check:	
Agent Delivery Events	Status	Transaction: 11020861358794 Result: passed Vendor ID: LexisNexis	
Intermediary Delivery Events	Status	Type: iAuth Recipient Name Provided by: Recipient Information Provided for ID Check: Address Performed: 4/15/2016 9:41:20 PM GMT	
Certified Delivery Events	Status	Electronic Record and Signature Disclosure: Not Offered via DocuSign ID:	
Carbon Copy Events	Status	Question Details: passed person.age.real passed county.lived.single.real passed person.state.real passed livedat.subdivision.real passed property.street.in.city.real passed county.lived.single.real	
Notary Events	Status		
Envelope Summary Events	Status		
Envelope Sent	Hashed/Encrypted		
Certified Delivered	Security Checked		
Signing Complete	Security Checked		
Completed	Security Checked		

### 3. To uphold my529's standards of security and confidentiality, my529 will not accept these authentication methods

- Email
- Access Code
- Age Verification
- Phone
- OFAC Checking
- Federated

## Not Acceptable

Signer Events	Signature	Timestamp	
John Smith jsmith@yourdomain.com Company ABC Security Level: Email, Account Authentication (None), Authentication	DocuSigned by:  57208E29F5F04F8... Using IP Address: ██████████	Sent: 11/1/2016 8:43:30 AM Viewed: 11/1/2016 8:45:52 AM Signed: 11/1/2016 8:46:32 AM	<b>Phone Authorization</b>
<b>Authentication Details</b> Phone Auth:  Transaction: 2baa7813-07f5-409e-8ae0-53726df4500f Result: passed Vendor ID: Authentify Type: PhoneAuth  Performed: 11/1/2016 1:45:49 PM Phone: ██████████ Electronic Record and Signature Disclosure: Not Offered via DocuSign			<b>Authentication Details</b> Phone Auth:  Transaction: 2baa7813-07f5-409e-8ae0-53726df4500f Result: passed Vendor ID: Authentify Type: PhoneAuth
John Smith jsmith@yourdomain.com Company ABC Security Level: Email, Account Authentication (None)	DocuSigned by:  57208E29F5F04F8... Using IP Address: ██████████	Sent: 11/1/2016 8:34:19 AM Viewed: 11/1/2016 8:34:23 AM Signed: 11/1/2016 8:36:17 AM	<b>Access Code Authorization</b>
Electronic Record and Signature Disclosure: Not Offered via DocuSign ID:			
John Smith jsmith@yourdomain.com Company ABC Security Level: Email, Account Authentication (None), Access Code	DocuSigned by:  57208E29F5F04F8... Using IP Address: ██████████		John Smith jsmith@yourdomain.com Company ABC Security Level: Email, Account Authentication (None), Access Code
Electronic Record and Signature Disclosure: Not Offered via DocuSign			

### 4. Contact DocuSign for e-signature access or for troubleshooting concerns

- If you are not a DocuSign customer, but would like more information, visit [docusign.org](http://docusign.org).
- For current DocuSign users, contact DocuSign directly with any technical support or service questions.

### 5. What if you want to use other e-signature services?

While my529 only currently accepts DocuSign, we understand that advisors may be using other e-signature companies. If you would like my529 to consider including additional e-signature companies that feature the same level of knowledge-based authentication, please let us know.

### 6. We are here for you

Reach out to our Professional Services Team at 888.529.1886 if you would like to discuss how DocuSign can help with your clients' my529 accounts, or with other questions or concerns.

*Investing is an important decision. Read the Program Description in its entirety for more information and consider all investment objectives, risks, charges, and expenses before investing. Call 800.418.2551 for a copy of the Program Description or visit [my529.org](http://my529.org). Investments in my529 are not insured or guaranteed by my529, the Utah Board of Higher Education, the Utah Education Savings Board of Trustees or any other state or federal agency. Your investment could lose value. However, Federal Deposit Insurance Corporation (FDIC) insurance is provided for the FDIC-insured accounts. Please read the Program Description to learn about the FDIC-insured accounts. The state in which you or your beneficiary pays taxes or lives may offer a 529 plan that provides state tax or other benefits, such as financial aid, scholarship funds, and protection from creditors, not otherwise available to you by investing in my529. You should consider such benefits, if any, before investing in my529. my529 does not provide legal, financial, investment, or tax advice, and the information provided in this document does not contain legal, financial, investment, or tax advice and cannot be construed as such or relied upon for those purposes. You should consult your own tax or legal advisor to determine the effect of federal and state tax laws on your particular situation. my529 does not pay commissions, loads or sales charges to financial advisors nor does it endorse financial advisors.*