

Agenda
Alabama Due Diligence Visit
Wednesday / Thursday, September 17-18, 2014

Wednesday, September 17

- Welcome / Overview
 - o 6811 South 27th Street - 2nd Floor
- Web Site Review & Discussions
 - o Dave Snitily – President (Snitily Carr)
- Union Bank Overview / Update
 - o Angie Muhleisen – President/CEO; Brad Crain - CFO
- Holding Company / Nelnet Overview & Update
 - o Mike Dunlap – Chairman
- Dinner

Thursday, September 18

- CollegeCounts Direct & Advisor Plan Audited Financial Statements
 - o Process Review - BKD
 - o Upcoming September 30 Audit
 - o Chris VanLong, Partner/ Andrea Mendlik (BKD)
- Internal Audit
 - o Overview
 - o SSAE-16 Report
 - o Bruce Stedronsky/Brian Rea
- Data Center / Technology
 - o Overview & Update
 - o Dana Turner / Adam Fousek
- Regulatory & Compliance Overview
 - o Patriot Act, CIP, OFAC, BSA/AML, FINCEN
 - o Megan Wiedel
- Break

- 529 Operational Center
 - o *Work Flow Process / Daily Workflow*
 - o *Fund Accounting / Portfolio Pricing*
 - o *Reporting / Statements*
 - o *Portfolio Rebalancing Overview*
 - o *\$350,000 account balance limitation*
 - o *1099-Q Tax Reporting*
 - o *Nancy Barnett/Brad Randazzo*

- 529 Service Center
 - o *Call Center Structure*
 - o *Call Center / CollegeCounts Service Standards*
 - o *Quality Control – Call Observations / Mystery Shops*
 - o *Escalation Procedures*
 - o *Material Fulfillment – financial advisors & account owners*
 - o *Withdrawal Process Overview (paper, phone, online)*
 - o *Cari Kaup/Lisa Witt*

- Wrap up/Questions
 - o *Working Lunch*