

**APPLICATION FOR RECOGNITION AS NATURAL GUARDIAN OF  
 MINOR NOT UNDER LEGAL GUARDIANSHIP AND FOR  
 DISPOSITION OF MINOR'S INTEREST IN REGISTERED SECURITIES**

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**IMPORTANT: Follow instructions in filling out this form. You should be aware that the making of any false, fictitious, or fraudulent claim or statement to the United States is a crime under the laws of the United States.**

**PRINT IN INK OR TYPE ALL INFORMATION**

To: Department of the Treasury, Bureau of the Public Debt, PO Box 426, Parkersburg, WV 26106-0426

1. DESCRIPTION OF SECURITIES			
TITLE OF SECURITY (Identify by interest rate, title, call and maturity dates)	FACE AMOUNT (Denomination)	SERIAL NUMBER	REGISTRATION (Exact inscription on each security)

**2. MINOR**

NAME: \_\_\_\_\_

TAXPAYER IDENTIFICATION NUMBER: \_\_\_\_\_

DATE OF BIRTH: \_\_\_\_\_

**3. GUARDIAN**

I request that I be recognized as natural guardian of the minor and request disposition and assignment of the described securities as follows:

Convert to book-entry form for the account of \_\_\_\_\_ (Account Information)

Payment of called or matured securities.

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

TELEPHONE: \_\_\_\_\_

RELATIONSHIP TO MINOR:  PARENT  FURNISH CHIEF SUPPORT  OTHER (specify) \_\_\_\_\_

**MARRIED?** If your spouse did not apply as natural guardian with you, please have your spouse sign after the following statement:

I consent to the above-named parent acting as the guardian for our minor child. \_\_\_\_\_  
 Signature

**SEPARATED OR DIVORCED?** You must furnish a certified copy of court records showing you have custody of the minor.

NAMES AND ADDRESSES OF OTHERS WHO REGULARLY CONTRIBUTE TO THE MINOR'S SUPPORT, AND THE PERCENTAGE OF THEIR CONTRIBUTIONS:

DOES THE MINOR RESIDE WITH YOU?  YES  NO

IF NO, PROVIDE THE NAME AND ADDRESS OF THE PERSON WITH WHOM THE MINOR RESIDES:

**4. AUTHORIZATION**

You must wait until you are in the presence of a certifying individual to sign this form.  
**(If there are two owners joined by the word "and," both must sign.)**

I REQUEST THAT I BE RECOGNIZED AS NATURAL GUARDIAN OF THE SAID MINOR FOR PURPOSES OF FURNISHING THE PAYMENT INSTRUCTIONS FOR THE SECURITY(IES) LISTED AND TO EXECUTE ANY NECESSARY REQUESTS FOR THOSE SECURITY(IES).

I CERTIFY THAT NO LEGAL GUARDIAN OR SIMILAR REPRESENTATIVE HAS BEEN APPOINTED FOR THE SAID MINOR AND NO SUCH APPLICATION IS CONTEMPLATED AND THAT THE SAID MINOR HAS AN INTEREST IN WHOLE OR IN PART IN SECURITIES HELD IN THE ACCOUNTS LISTED.

IN CONSIDERATION FOR MY RECOGNITION AS NATURAL GUARDIAN OF THE MINOR, I AGREE THAT I WILL PROMPTLY NOTIFY THE BUREAU OF THE PUBLIC DEBT IF (A) THE MINOR REACHES THE AGE OF MAJORITY OR IS EMANCIPATED BY COURT ORDER OR MARRIAGE UNDER THE LAWS OF THE STATE OF HIS/HER RESIDENCE, (B) A LEGAL GUARDIAN OR SIMILAR REPRESENTATIVE IS APPOINTED FOR THE MINOR'S ESTATE, (C) I NO LONGER FURNISH CHIEF SUPPORT FOR THE MINOR (WHEN SUPPORT IS THE BASIS FOR RECOGNITION), OR (D) THE MINOR DIES.

\_\_\_\_\_  
SIGNATURE(S)

**5. CERTIFICATION**

The natural guardian's signature **MUST** be certified by an authorized certifying individual.

Instructions to Certifying Individual:

1. Name of person(s) who appeared and date of appearance **MUST** be completed.
2. Medallion stamps require an original signature.

I CERTIFY THAT \_\_\_\_\_, WHOSE IDENTITY(IES) IS/ARE  
NAME(S) OF PERSON(S) WHO APPEARED  
 KNOWN OR PROVEN TO ME, PERSONALLY APPEARED BEFORE ME THIS \_\_\_\_\_ DAY OF \_\_\_\_\_  
MONTH/YEAR  
 AT \_\_\_\_\_ AND SIGNED THIS APPLICATION.  
CITY/STATE

**ACCEPTABLE CERTIFICATIONS:**

Financial Institution's Official Seal or Stamp (Such as Corporate Seal, Signature Guaranteed Stamp, or Medallion Stamp). **Brokers must use a Medallion Stamp.**

\_\_\_\_\_  
SIGNATURE AND TITLE OF CERTIFYING INDIVIDUAL

\_\_\_\_\_  
NAME OF FINANCIAL INSTITUTION

\_\_\_\_\_  
ADDRESS

\_\_\_\_\_  
CITY/STATE/ZIP CODE

\_\_\_\_\_  
TELEPHONE

## INSTRUCTIONS FOR COMPLETING APPLICATION FOR RECOGNITION AS NATURAL GUARDIAN OF MINOR NOT UNDER LEGAL GUARDIANSHIP AND FOR DISPOSITION OF MINOR'S INTEREST IN REGISTERED SECURITIES

### PURPOSE

This form can be used to:

- apply for recognition as a natural guardian of a minor who owns, wholly or in part, registered securities in an estate where a legal representative has not been appointed.
- apply for recognition as a natural guardian when a designated natural guardian is no longer acting. (A death certificate, physician's certificate, or certified evidence of court action must be submitted as proof of the designated natural guardian's inability to act.)

### IMPORTANT NOTE

- Only original signatures and forms will be accepted (stamped signatures are not acceptable).
- Unless all the required information is provided legibly, there may be a delay in processing this form. To avoid delays, read the instructions carefully and **type or print clearly in ink only**.
- This form **MUST** be signed in all cases.
- **APPLICATIONS WILL NOT BE ACCEPTED WITH ALTERATIONS OR CORRECTIONS.**

### WHO MAY APPLY

The parent with whom the minor resides may apply. If the minor resides with both parents, either or both may apply. The parent who has not joined in the application must consent by signing the statement within the box in Section 3. If the parents are separated or divorced, no consent is required provided that a certified copy of court records is furnished showing that the parent applying has custody. If the minor does not reside with either parent, the person who furnishes the minor's chief support may apply.

No application will be considered if the Department of the Treasury is on notice that 1) the minor reaches the age of majority or is emancipated by court order or marriage under the laws of the state of his/her residence, 2) a legal guardian or similar representative of the minor's estate has been appointed, 3) the applicant is not entitled to act as natural guardian, or 4) the minor has died.

### 1. DESCRIPTION OF SECURITIES

Provide a complete description of all securities owned wholly or in part by the minor.

### 2. MINOR

Provide the minor's name, taxpayer identification number, and date of birth.

### 3. GUARDIAN

Check the appropriate box to show the requested disposition of the security(ies).

Provide your name and address, and indicate your relationship to the minor. **Remember:** If you are married and your spouse did not apply as natural guardian with you, please have your spouse sign the statement within the box. If you're separated or divorced, furnish a certified copy of court records showing you have custody of the minor.

If you are applying as the furnisher of chief support for the minor, provide the names and addresses of others who regularly contribute to the minor's support and the extent of their contributions (expressed as a percentage of the minor's total support).

Indicate whether the minor resides with you. If not, provide the name and addresses of the person with whom the minor resides.

### 4. AUTHORIZATION

Read the authorization statement carefully. In the presence of an authorized certifying individual, sign the form in ink.

### 5. CERTIFICATION

Certification of your signature is required. Acceptable certifying individuals include authorized employees of insured depository institutions and corporate central credit unions. Certification date, address, and telephone number of the financial institution are required.

**SUBMISSION**

After you complete and sign the application, submit it, together with the securities and any necessary evidence, to the Department of the Treasury, Bureau of the Public Debt, PO Box 426, Parkersburg, WV 26106-0426. We suggest that you send the securities by registered mail.

**FEE FOR BONDS OR NOTES REQUESTED IN CERTIFICATE FORM**

Effective January 30, 1995, a fee is charged for each Treasury bond or note requested in certificate form. Unless we are specifically instructed otherwise, any unmatured securities will be converted to Legacy Treasury Direct®.

**Legacy Treasury Direct *Electronic Services***

Enjoy the convenience of our Legacy Treasury Direct electronic services from the comfort of your home using your computer ([www.treasurydirect.gov](http://www.treasurydirect.gov)) or a touch-tone phone (1-800-722-2678).

Great hours! 8-8 ET, Monday through Friday, except for Federal holidays (24 hours a day for *Reinvest Direct*®!)

**Here's what you can do:**

- Buy a security
- Reinvest maturing securities
- Order a *Statement of Account*
- Request a duplicate interest income form
- Get your overall account par balance (Web users get even more details!)
- Change your address and phone number, too! (Web users only)

**NOTICE UNDER THE PRIVACY AND PAPERWORK REDUCTION ACTS**

We're asking for the information on this form to assist us in processing your securities transaction requests. Our authority comes from 31 U.S.C. Ch. 31 which authorizes the Treasury Department to borrow money to pay the public debt of the United States. Also, 26 U.S.C. 6109 requires us to use your SSN on certain forms when we report taxable income to IRS. It's voluntary that you provide the requested information, but without it, we may not be able to process your transaction requests. Information concerning your securities holdings and transactions is considered confidential under Treasury regulations (31 CFR Part 323) and the Privacy Act. However, the following routine uses of this information may include disclosure to the following persons or entities: agents and contractors who help us manage the public debt; others entitled to the securities or payment; agencies (including disclosure through approved computer matches) determining eligibility for benefits, finding persons we've lost contact with, or helping us collect debts; agencies for investigations or prosecutions; courts, counsel, and others for litigation and other proceedings; a Congressional office asking on your behalf; and as otherwise authorized by law.

We estimate it will take you about 10 minutes to complete this form. However, you are not required to provide information requested unless a valid OMB control number is displayed on the form. Any comments or suggestions regarding this form should be sent to the Bureau of the Public Debt, Forms Management Officer, Parkersburg, WV 26106-1328. **DO NOT SEND completed form to the above address; send to the correct address shown in the instructions.**