

Rollover Form

CollegeCountsSM
Alabama's 529 Fund

PO Box 85290
Lincoln, NE 68501-5290
CollegeCounts529.com

- Complete this form to initiate a rollover/transfer of assets from another 529 college savings plan or Coverdell Education Savings Account (CESA) to your CollegeCounts 529 Fund Account.
- Contact your current 529 program manager or Coverdell Education Savings Account custodian to determine if a Medallion Signature Guarantee is required. Many do require a Medallion Signature Guarantee. Without this, the rollover may be delayed. (See Section 6)
- Return this completed form and an account statement from the current program. **Please note:** If you do not already have a CollegeCounts 529 Fund Account, complete and enclose an Enrollment Form with this Rollover Form.

Regular Mail:

CollegeCounts 529 Fund
PO Box 85290
Lincoln, NE 68501-5290

Overnight Mail:

CollegeCounts 529 Fund
6811 South 27th Street
Lincoln, NE 68512

- For assistance, call toll-free: 866.529.2228.

1 Source of Rollover (check one)

- Another 529 college savings plan
- Coverdell Education Savings Account (CESA)

For instructions on liquidating or contributing U.S. Savings Bond proceeds, see the U.S. Savings Bonds Contribution Form.

2 CollegeCounts 529 Fund Account Information

The Account listed below will be the recipient of the rollover transaction.

Account Number

--
Account Owner Social Security Number

Account Owner First Name

M.I.

Last Name

Phone

E-Mail

Beneficiary First Name

M.I.

Last Name

--
Beneficiary Social Security Number

3 Current 529 Program Manager or CESA Custodian (where assets are currently held)

Please confirm the address below with your current provider. We will forward this Rollover Form to the address below to initiate the rollover process. **Please attach a copy of your current 529 or CESA statement.**

Name of 529 Program Manager or CESA Custodian (if applicable)

Name of 529 College Savings Program and State Sponsor (if CESA, leave blank)

Mailing Address of 529 College Savings Program

City, State, ZIP

CollegeCounts529.com

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Rollover Instructions to Current 529 Program Manager or CESA Custodian

Monies being transferred from account number _____

Roll over the following amount to my CollegeCounts 529 Fund Account:

Select One

- Full liquidation and close account
- Partial liquidation (indicate amount) \$ _____ OR _____%

Note: If your current 529 program manager does not provide a breakdown that shows the contribution portion (basis) and earnings portion of the rollover contribution, we are required by law to treat the entire rollover amount as earnings in your CollegeCounts 529 Fund Account.

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Authorization/Signature – You must sign below

- I hereby authorize and direct the rollover indicated above and certify that I have read the Program Disclosure Statement and understand the rules and requirements governing rollovers from other 529 plans or CESAs.
- **IMPORTANT** → I certify that this rollover is for the same Beneficiary and that there have been no other rollovers between 529 plans for this Beneficiary in the previous 12 months OR that this rollover is for a different Beneficiary and the Beneficiary on the CollegeCounts 529 Fund Account is a Member of the Family (as defined in the Program Disclosure Statement) of the Beneficiary on the current 529 plan account I am rolling over.
- I certify that all the information contained herein is true and correct.
- I acknowledge that the rollover of funds to the CollegeCounts 529 Fund may have special tax consequences and that neither the Board, the State Treasurer of Alabama, nor the Program Manager will be responsible for the tax consequences of any such rollover.
- I acknowledge that the rollover proceeds will be invested according to my current investment election on file with the CollegeCounts 529 Fund for my Account at the time the assets are received.
- By signing below, I authorize the CollegeCounts 529 Fund to inquire into issues relating to the transfer of my Account and for the current 529 program manager or CESA custodian to provide information to the CollegeCounts 529 Fund as they may request.

X _____ Date _____
Signature of Account Owner (same as listed in Section 2)

The CollegeCounts 529 Fund will send the Account Owner confirmation upon receipt of the rollover or transfer assets.

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Medallion Signature Guarantee

Contact your current 529 program manager or CESA custodian to determine if a Medallion Signature Guarantee is required. Many do require a Medallion Signature Guarantee. Without this, the rollover may be delayed. If a Medallion Signature Guarantee is required, please wait to sign until you are in the presence of the bank officer or official who will provide the Medallion Signature Guarantee.

MEDALLION SIGNATURE GUARANTEE

Note to Guarantor:
Medallion imprints must be fully legible and must not be dated or annotated.

Signature must be stamped with a Medallion Signature Guarantee by a qualified financial institution, such as a commercial bank, savings and loan, U.S. stock broker and security dealer, or credit union, that is participating in an approved Medallion Signature Guarantee program. (A NOTARY SEAL IS NOT ACCEPTABLE.)