

# TD Ameritrade 529 College Savings Plan Account Owner Change Form

**Return this Form to:**

TD Ameritrade 529  
P.O. Box 85529  
Lincoln, NE 68501-5529

**Overnight Mail:**

TD Ameritrade 529  
3606 South 48<sup>th</sup> Street  
Lincoln, NE 68506

If you have questions, please call us at **877.408.4644**,  
Monday–Friday, 7 a.m. to 7 p.m. (CT).

## 1. Current Account Information

Account Number(s): \_\_\_\_\_

Account Owner Name (First, M.I., Last): \_\_\_\_\_

Mobile Phone Number: \_\_\_\_\_

Secondary Phone Number: \_\_\_\_\_

Name of Beneficiary (First, M.I., Last): \_\_\_\_\_

## 2. Reason for Transfer (Check one)

**Current Account Owner transferring ownership and rights and interests to new Account Owner**  
(Complete sections 3, 4, 5, 6, and 7)

**Death of current Account Owner** (Complete sections 4, 5, and 7 and provide a copy of the death certificate)

**UGMA/UTMA Beneficiary attains relevant age under the applicable UGMA/UTMA Statute**  
(Complete sections 4, 5, 6, and 7 and provide a copy of the Beneficiary's birth certificate.)

**Legal incapacity of current Account Owner** (Complete Sections 4, 5, and 7. An acceptable medical authorization or court order evidencing the legal incapacity of the current Account Owner is required.)

**Other** (specify): \_\_\_\_\_

## 3. Amount of Transfer to New Account Owner (Check one)

**Entire balance** (the Account(s) listed in Section 1 will be closed after the transfer)

**Partial transfer:**

\$ \_\_\_\_\_ or \_\_\_\_\_%

## 4. New Account Owner Information

Legal Name (First, M.I., Last): \_\_\_\_\_

Social Security Number or Taxpayer Identification Number: \_\_\_\_\_

Date of Birth (MM/DD/YYYY): \_\_\_\_\_

Country of Citizenship: \_\_\_\_\_

Street Address (no P.O. Boxes): \_\_\_\_\_

City, State, ZIP: \_\_\_\_\_

Mailing Address (if different from above): \_\_\_\_\_

City, State, ZIP: \_\_\_\_\_

Mobile Phone Number: \_\_\_\_\_ Secondary Phone Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

## 5. New Account Owner Authorization and Signature

By signing below, I understand and hereby certify that:

- I have read and understand the terms and conditions of the TD Ameritrade 529 College Savings Plan ("Plan") Program Disclosure Statement and the Participation Agreement as currently in effect. I understand that the Plan may, from time to time, amend the Program Disclosure Statement or the Participation Agreement. I agree that my Plan Account(s) will be governed by the terms and conditions contained in the Program Disclosure Statement and the Participation Agreement, as amended from time to time.
- All the information in this Form, as well as any supporting documentation, is true and correct.
- I understand each Account(s) is governed by an arbitration clause, which is set forth in Section 12 of the Participation Agreement. I acknowledge receiving a copy of the arbitration clause.
- **I understand that the above-referenced Account(s) will continue to have the same Beneficiary designation, same successor Account Owner designation (except in the case this Account Owner Change Form is being completed due to the death of the Account Owner), and same Investment Option(s) currently on file with the TD Ameritrade 529 College Savings Plan. As the new Account Owner I understand that I may make a change in any of the foregoing by completing the proper Plan paperwork.**
- I have reached the age of majority in the state in which I reside and I have full authority and legal capacity to purchase Investment Options and to open an Account in the Plan.
- If the Account(s) is minor-owned or is funded with UGMA/UTMA assets, I am the parent/guardian/custodian of the Account Owner, I am authorized to open the Account, I am not aware of any adverse claim of ownership or court order relating to this Account, and I agree to hold harmless the Plan, the Trust, the Trustee, TD Ameritrade, Inc. and its affiliates, TD Ameritrade Investment Management, LLC, and Union Bank & Trust Company from any third party claims relating to my actions.
- I acknowledge that Accounts established under the Plan and their earnings are not insured by the Federal Deposit Insurance Corporation or any other governmental agency; are not guaranteed by the State of Nebraska, the Nebraska State Treasurer, the Nebraska Investment Council, TD Ameritrade, Inc. and its affiliates, TD Ameritrade Investment Management, LLC, or Union Bank & Trust Company; and are subject to investment risk, including loss of principal.
- I understand it is the Plan's policy to mail one Program Disclosure Statement for all Accounts for which I am the Account Owner. I understand this applies to all existing Accounts and any Accounts I may open in the future. I consent to this policy.
- I authorize Union Bank & Trust Company, its agents and affiliates, and the Trust to act on any instructions believed to be genuine and from me for any telephone, electronic and website services. Union Bank & Trust Company and the Trust use procedures designed to verify the authenticity of the Account Owner or Custodian. If these procedures are followed, Union Bank & Trust Company and its affiliates, TD Ameritrade, Inc. and its affiliates, and the Trust will not be liable for any loss that may result from acting on unauthorized instructions. I understand that anyone who can properly identify my Account(s) can obtain information about my Account(s) and can make telephone, electronic, or computer exchange and/or redemption, contribution or withdrawal transactions on my behalf.
- If a trust will be the new Account Owner, I am authorized to act on the trust's behalf in making this request. I further certify that the provided trust agreement (or excerpts thereof) is a true copy of the current and valid legal document(s).
- If established an entity will be the new Account Owner, I am authorized to act on the entity's behalf in making this request. I further certify that the resolution contained in the Organization Resolution Form remains in effect.
- I agree to promptly inform Union Bank & Trust Company in the event that any of the foregoing certifications becomes untrue. I understand and acknowledge that Union Bank & Trust Company has the right to terminate an individual's, a trust's or an entity's participation in the Plan if it has reasonable grounds to believe that any of the foregoing certifications is untrue.

**Please wait to sign until you are in the presence of the bank officer or official who will provide the Medallion Signature Guarantee.**

### Signature of new Account Owner, Trustee or Authorized Person

X \_\_\_\_\_

Signature of new Account Owner, Trustee or Authorized Person

\_\_\_\_\_ Date

\_\_\_\_\_ Print Name Here

\_\_\_\_\_ Title (if an entity other than an individual is the new Account Owner)

## 6. Current Account Owner Authorization and Signature

By signing below, I understand and hereby certify that I authorize the transfer of ownership and rights and interests in the Account(s) listed in Section 1 and in the amounts listed in Section 3, if applicable, to the new Account Owner. I understand that I do not have any ownership, rights or interests to the funds transferred and there may be adverse tax consequences of the transfer. I have consulted with my tax advisor about the tax consequences of the transfer.

**Please wait to sign until you are in the presence of the bank officer or official who will provide the Medallion Signature Guarantee.**

### Signature of current Account Owner Required

<b>X</b> _____ Signature of current Account Owner	_____
_____	Date
_____	
Print Name Here	
_____	
Title (if an entity other than an individual is the current Account Owner)	

## 7. Medallion Signature Guarantee REQUIRED

**A Medallion Signature Guarantee is required:**

- 1. For the signature in Section 6 if the current Account Owner is requesting the change.**
- 2. For the signature in Section 5 if the current Account Owner is deceased or becomes legally incapacitated and the new Account Owner is assuming ownership per the procedures outlined in the TD Ameritrade 529 College Savings Plan Program Disclosure Statement.**

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 PUBLIC CANNOT PROVIDE A SIGNATURE GUARANTEE)**

### Securities Products: Not FDIC Insured - No Bank Guarantee - May Lose Value

Nebraska Educational Savings Plan Trust, Issuer. TD Ameritrade, Inc., sub-administrator. TD Ameritrade Investment Management, LLC, portfolio consultant.

TD Ameritrade does not provide tax advice. Every individual's tax situation is different, and it is important to consult a qualified tax advisor regarding the application of the Plan's benefits to your own individual situation.

Union Bank and Trust Company renders certain distribution services to the Plan. TD Ameritrade, Inc. renders certain marketing and administrative services to the TD Ameritrade 529 College Savings Plan. TD Ameritrade Investment Management, LLC renders portfolio consulting services to Union Bank and Trust Company and the Nebraska Investment Council. TD Ameritrade, Inc., member FINRA/SIPC, and TD Ameritrade Investment Management, LLC are subsidiaries of The Charles Schwab Corporation. TD Ameritrade is a trademark jointly owned by TD Ameritrade IP Company, Inc. and the Toronto-Dominion Bank. All rights reserved. Used with Permission.



**UBT**  
Union Bank & Trust  
Program Manager