

TD Ameritrade 529 College Savings Plan Incoming Rollover Form

Complete this Form to Roll Over Another 529 Plan or Coverdell to the TD Ameritrade 529 College Savings Plan.

Return this Form to:

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

Overnight Mail:

TD Ameritrade 529
3606 South 48th 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. Type of Rollover/Transfer (Please only check A, B, or C)

- A. An Out-of-State 529 College Savings Plan**
- B. Coverdell Education Savings Account (CESA)**
- C. Re-allocation from another Nebraska State-Issued 529 Plan***
 - NEST Advisor College Savings Plan
 - NEST Direct 529 College Savings Plan
 - State Farm 529 Savings Plan

*The Internal Revenue Service considers a transfer from another 529 plan sponsored by the State of Nebraska to be an investment change. You are limited to two investment changes each calendar year.

2. TD Ameritrade 529 College Savings Plan Account Information

TD Ameritrade 529 College Savings Plan Account Number:** _____

Account Owner Legal Name (First, M.I., Last): _____

Beneficiary Legal Name (First, M.I., Last): _____

Last 4 digits of Beneficiary's Social Security Number or Taxpayer Identification Number: _____

**If you do not have an existing TD Ameritrade 529 College Savings Plan Account, you must complete a TD Ameritrade 529 College Savings Plan Enrollment Form.

3. Account to be Rolled Over (PLEASE PROVIDE A COPY OF A CURRENT ACCOUNT STATEMENT)

529 Plan Name (if CESA, leave blank): _____

Account Number: _____

Name of 529 Program Manager or CESA Custodian: _____

Address of 529 Program Manager or CESA Custodian: _____

City, State, Zip: _____

Phone Number of 529 Program Manager or CESA Custodian: _____

Current 529 or CESA Account Owner (must be the same as your TD Ameritrade 529 College Savings Plan): _____

Current 529 or CESA Account Beneficiary (Check A or B)

- A. Same Beneficiary** as Section 2.
- B. Different Beneficiary** than Section 2. Beneficiary Name _____

Relationship to Beneficiary*** in Section 2 : _____

***Must be a Member of the Family of the Beneficiary identified in Section 2 above. See the Program Disclosure Statement for the definition of a Member of the Family.

4. Rollover Instructions to Current 529 Program Manager or CESA Custodian

Full Liquidation (Roll over ALL assets in my current account to my TD Ameritrade 529 College Savings Plan Account.)

Estimated Value: \$ _____

Partial Liquidation _____% of account or as follows:

Fund Name	Account Number	Dollar Amount
_____	_____	\$ _____ or <input type="checkbox"/> ALL
_____	_____	\$ _____ or <input type="checkbox"/> ALL
_____	_____	\$ _____ or <input type="checkbox"/> ALL

5. Instructions if Assets Have Been Redeemed

A check is included from an out-of-state 529, CESA, or qualified U.S. Savings Bond that was redeemed in the last 60 days. You must provide a statement from the prior financial institution or IRS Form 1099-Q or 1099-INT showing the contribution and earnings portion of the redemption. If these forms are not provided the entire amount will be treated as earnings.

An Out-of-State 529 Plan

Coverdell Education Savings Account

Qualified U.S. Savings Bond Proceeds

Total Amount of Redemption: \$ _____

Principal Amount of Redemption (basis): \$ _____

Earnings Amount of Redemption: \$ _____

6. Signature and Authorization

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 Coverdell Education Savings Accounts.

I certify that if I have already redeemed the rollover amount for deposit into a TD Ameritrade 529 College Savings Plan Account, this request is within 60 days of the withdrawal.

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 TD Ameritrade 529 College Savings Plan 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 TD Ameritrade 529 College Savings Plan may have special tax consequences and that neither the Trustee, the Program Manager, TD Ameritrade, Inc. and its affiliates, TD Ameritrade Investment Management, LLC, nor the Trust will be responsible for the tax consequences of any such rollover.

I understand a transfer from another 529 plan sponsored by the State of Nebraska is considered an investment change and counts against the two investment change limitation per calendar year. Rollover proceeds will be invested according to my current investment election on file with the TD Ameritrade 529 College Savings Plan for my Account at the time the assets are received.

By signing below, I authorize the TD Ameritrade 529 College Savings Plan to inquire into issues relating to the transfer of my account and for the current 529 program manager or Coverdell Education Savings Account custodian to provide information to the TD Ameritrade 529

Signature and Date Required

X _____
Signature of Account Owner, Custodian (UGMA/UTMA Accounts), or Trustee Date

Print Name Here

Title (if other than an individual)

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. A notary public CANNOT provide a 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)

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.

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

Authorization and Acceptance

The TD Ameritrade 529 College Savings Plan hereby agrees to accept the rollover described herein and upon receipt will deposit the proceeds in the Account established on behalf of the Account Owner named herein.

Authorized Signature – TD Ameritrade 529 College Savings Plan

INSTRUCTIONS to 529 PLAN OR CUSTODIAN

Send redemption proceeds by check to:

TD Ameritrade 529 College Savings Plan

P.O. Box 85529

Lincoln, NE 68501-5529

Make the check payable to TD Ameritrade 529 College Savings Plan. Include the Account Owner name and the TD Ameritrade 529 College Savings Plan Account number on the check (if available). Please enclose a statement that shows the principal and earnings breakdown.