Transfer Due to Death of Custodian Form

ALASKA529

- Use this form to change the Custodian of an Account due to the death of the original Custodian.
- Complete this form for each new Custodian.
- **Successor Custodian on file:**
  If the Custodian of an Account is deceased, and there is a Successor Custodian on file, the Successor Custodian requests the transfer of ownership. Please include a death certificate for the deceased Custodian if one is not already on file. **Note:** If your Account is an UGMA/UTMA Account, the Successor Custodian is only acting in this capacity until the Beneficiary has reached the age of termination.
- **No Successor Custodian on file for an UGMA/UTMA Account:**
  If the Custodian of an UGMA/UTMA Account is deceased, and a Successor Custodian was not designated, the executor of the decedent's estate is responsible for naming a new Custodian. Please include a death certificate for the deceased Custodian as well as documentation appointing the executor.
- **No Successor Custodian on file for a minor-owned Account:**
  If the Custodian of a minor-owned Account (not funded with an UGMA/UTMA) is deceased, and a Successor Custodian was not designated, the parent or legal guardian of the minor Account Owner is responsible for naming a new Custodian. Please include a death certificate for the deceased Custodian as well as documentation of the relationship of the parent/legal guardian to the minor (e.g., birth certificate, guardianship appointment, etc.).
- If the new Custodian does not already have an Account for the Beneficiary, the new Custodian must establish an Account.
- Type in your information and print out the completed form, or print clearly, preferably in capital letters and black ink.

Capitalized terms not otherwise defined on this form have the meanings set forth in the Plan Disclosure Document.

1-888-425-2752
Monday - Friday 7 a.m. to 6 p.m.
Alaska Time

Alaska529plan.com

Regular mailing address:
Alaska 529
PO Box 219865
Kansas City, MO 64121

Overnight mailing address:
Alaska 529
1001 E 101st Terrace, Suite 200
Kansas City, MO 64131

1. Current Account Information

Deceased Custodian *(First name)* *(M.I.)*

Deceased Custodian *(Last name)*

Last 4 Digits of Social Security Number OR Account Number

Beneficiary *(First name)* *(M.I.)*

Beneficiary *(Last name)*

2. Transfer Instructions

☐ **Transfer to Successor Custodian — Section 3**

☐ **Transfer to Custodian Named by Executor (UGMA/UTMA Account) — Section 4**

☐ **Transfer to Custodian Named by Parent/Legal Guardian (minor-owned Account) — Section 5**

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3. Transfer to Successor Custodian

A. **Successor Information**

Successor Custodian *(First name)* *(M.I.)*

Successor Custodian *(Last name)*

Please check one box:

☐ **The new Custodian already has an Account for this Beneficiary.** *(Please provide Account number.)*

☐☐☐☐☐☐☐☐☐ — ☐☐

Existing Account Number

☐ **A new Account will be established for this Beneficiary**. *(Please include an **Account Application** with this form.)*

B. **Investment Instructions**

If an option is not selected below, the transfer amount will be allocated according to the new Account's Standing Allocations for future contributions.

Check one.

☐ I want to transfer the assets in-kind. *(An "in-kind" transfer will move the assets to the receiving Account without a change in the currently held investment(s) or the Standing Allocations for future contributions.)*

☐ I want to transfer and allocate the assets according to the new Account's Standing Allocations for future contributions. *(By selecting this option, the current investments will be liquidated, and the funds will be deposited into the new Account according to the Standing Allocations for future contributions on the new Account.)*

4. Naming of New Custodian by Executor *(UGMA/UTMA Account with no Successor on file)*

A. **Executor Information**

Please remember to include the documentation appointing the executor of the decedent's estate.

Executor's First Name *(M.I.)*

Executor's Last Name

B. **New Custodian Information**

New Custodian's First Name *(M.I.)*

New Custodian's Last Name

5. Naming of New Custodian by Parent/Legal Guardian *(minor-owned Account with no Successor on file)*

A. **Parent/Legal Guardian Information**

Please remember to include the documentation validating the parent or legal guardian of the minor Account Owner.

Parent/Legal Guardian's First Name *(M.I.)*

Parent/Legal Guardian's Last Name

B. **New Custodian Information**

New Custodian's First Name *(M.I.)*

New Custodian's Last Name

6. Transfer to New Custodian *(As named by executor or parent/legal guardian)*

To be completed by new Custodian

A. **Receiving Account Information**

Please check one box:

☐ **The new Custodian already has an Account for this Beneficiary.** *(Please provide Account number.)*

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Existing Account Number

☐ **A new Account will be established for this Beneficiary**. *(Please include an **Account Application** with this form.)*

B. **Investment Instructions**

If an option is not selected below, the transfer amount will be allocated according to the new Account's Standing Allocations for future contributions.

Check one.

☐ I want to transfer the assets in-kind. *(An "in-kind" transfer will move the assets to the receiving Account without a change in the currently held investment(s) or the Standing Allocations for future contributions.)*

☐ I want to transfer and allocate the assets according to the new Account's Standing Allocations for future contributions. *(By selecting this option, the current investments will be liquidated, and the funds will be deposited into the new Account according to the Standing Allocations for future contributions on the new Account.)*

7. Signature — YOU MUST SIGN BELOW

The Successor Custodian or the new Custodian named by the executor or parent/legal guardian must sign in part A.

As the Successor Custodian, I certify that the information provided in this form is true and complete in all respects. I agree to accept the transfer of assets from the deceased Custodian's Account to an Account for which I am Custodian.

A. Successor Custodian

SIGNATURE

Signature of Successor Custodian

Date *(mm-dd-yyyy)*

The executor of the deceased Custodian's estate must sign in part B, if applicable.

As the executor of the deceased Custodian's estate, I certify that the information provided in this form is true and complete in all respects. I certify that I am authorized to act on behalf of the deceased Custodian's estate.

B. Executor of the decedent's estate

SIGNATURE

Signature of executor of the decedent's estate

Date *(mm-dd-yyyy)*

The parent/legal guardian of the minor Account Owner of the minor-owned Account must sign in part C, if applicable.

As the parent/legal guardian of the minor Account Owner, I certify that the information provided in this form is true and complete in all respects. I certify that I am authorized to act on behalf of the minor Account Owner as the individual's parent or legal guardian.

C. Parent or Legal Guardian of minor Account Owner

SIGNATURE

Signature of Parent/Legal Guardian

Date *(mm-dd-yyyy)*

Please only fill out below if you will need your original legal documents returned: *(Optional)*

Recipient First Name *(M.I.)*

Recipient Last Name

Mailing Address

City State Zip Code