Indiana529 Advisor Savings Plan

[Indiana*529*]

Advisor Savings Plan

Direct Rollover Out to Roth IRA Form

- Complete this form to initiate a direct rollover of assets from your Indiana529 Advisor Savings Plan ("Indiana529 Advisor") Account to an existing Roth IRA account established for the benefit of the Beneficiary.
- The Beneficiary in **Section 1** will be the tax responsible party who will receive the IRS Form 1099-Q.
- Your rollover will be processed out of your Indiana529 Advisor Savings Plan Account according to the instructions you provide in Section 3.
- Please review Section 4 to determine whether or not your assets are eligible for rollover to a Roth IRA.
- Please consult with your Roth IRA provider to determine whether there are additional requirements before submitting this form.
- Complete a separate form for each Indiana529 Advisor Account.
- Complete all sections in blue or black ink and print in capital letters. Be sure to sign and date this form.

Forms can be downloaded from our website at **www.indiana529advisor.com**, or you can call us to order any form — or request assistance in completing this form — at **1.866.485.9413** any business day from 8 a.m. - 8 p.m. E.T.

Terms used in this Form not otherwise capitalized have the same meaning as those terms in the Indiana529 Advisor Savings Plan Disclosure Booklet ("Disclosure Booklet").

Return this form and any other required documents to:

Indiana529 Advisor Savings Plan P.O. Box 219354 Kansas City, MO 64121 For overnight delivery or registered mail, send to:

Indiana529 Advisor Savings Plan 1001 E 101st Terrace, Suite 200 Kansas City, MO 64131

1.	Indiana529 Advisor Account Information	

Account Number (Required)
Social Security Number or Taxpayer Identification Number (<i>Required</i>)
Account Owner (First name) (Required) (M.I.
Account Owner (Last name) (Required)
Telephone Number
Beneficiary (First name) (Required) (M.I.,
Beneficiary (Last name) (Required)

Beneficiary Social Security or Taxpayer Identification Number (Required)

2. Roth IRA Manager or Custodian (Financial Institution)

	ase contact the receiving Roth IRA Plan Ma	nager or C	ustodian for the proper
mailing address.			
Account Number of Roth IRA			
Name of Receiving Roth IRA Manager or Custodian (Usually a Financial	Institution)		
Address of Receiving Roth IRA Manager or Custodian			
Address of necessing notifinal wanager of custodian			
City	State Zip Code		
Telephone Number			
Instructions to Indiana529 Advisor			
The assets described below will be moved from your Indian indicated in Section 2 .	na529 Advisor Account to the Roth IRA acco	ount at the	Financial Institution
The value of the assets being rolled over to the Roth IRA the Beneficiary for all individual retirement plans mainta	•	for the tax	able year applicable to
Check one.	,		
A. Roll over all of the assets in my Indiana529 Adv	visor Account to the Roth IRA indicated	in Section	12.
A. Roll over all of the assets in my Indiana529 Adv B. Roll over a portion of the assets in my Indiana5 identified below will be taken from each Inves	i29 Advisor Account to the Roth IRA indi		
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4. SIGNATURE — YOU MUST SIGN BELOW

By signing below, I certify that the information contained in this form, and in any required documentation, is true, complete and correct.

- I understand that the IRS may issue guidance that could impact a rollover from my Indiana529 Advisor Account to a Roth IRA. I also understand that additional restrictions may apply under federal Roth IRA rules and guidance. Please consult a financial professional or tax advisor regarding the applicability of these rollovers to your personal situation.
- I certify that I have read, understand, consent, and agree to all of the terms and conditions of the Disclosure Booklet, and understand
 the rules and regulations governing rollover contributions to Roth IRAs from 529 plans, and that the rollover I am requesting meets all
 of the requirements and conditions required for an eligible rollover of assets to Roth IRAs from 529 plans.
- I understand that my Indiana529 Advisor Account must be open for 15 or more years in order to qualify for a rollover to a Roth IRA.
- I understand that IRS regulations permit a lifetime maximum amount of \$35,000 per Beneficiary to be rolled over from 529 accounts to Roth IRAs.
- I understand that 529 contributions and associated earnings must be in my Indiana529 Advisor Account for more than 5 years in order to qualify for a rollover to a Roth IRA.
- I understand that I am responsible for tracking and documenting the length of time my Indiana529 Advisor Account has been open and the amount of assets in my Account eligible to be rolled into a Roth IRA.
- I understand that 529 assets can only be rolled over into a Roth IRA maintained for the benefit of the Beneficiary of my Indiana529 Advisor Account.
- I understand that the Roth IRA contribution is subject to the Roth IRA contribution limit for the taxable year applicable to the Beneficiary for all individual retirement plans maintained for the benefit of the Beneficiary.
- If I am an Indiana taxpayer, I understand that a rollover from my Indiana529 Advisor Account is subject to recapture of the Indiana state income tax credit claimed by contributors in prior tax years.

SIGNATURE	
Signature of Account Owner	Date (mm-dd-yyyy)