




**The Education Plan®**  
A little today goes a long way

## The Education Plan®

### **Direct Rollover Out to Roth IRA Form**

- Complete this form to initiate a direct rollover of assets from your Account in The Education Plan to an existing Roth IRA account established for the benefit of the Beneficiary.
- The designated 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 Account in The Education Plan 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 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 **theeducationplan.com**, or you can call us to order any form—or request assistance in completing this form—at **1.877.337.5268**, Monday to Friday 8 a.m. to 7 p.m. MT.

 **1.877.337.5268**  
Monday to Friday 8 a.m. to 7 p.m. MT

**FAX 617.559.8953**

Regular mailing address:  
**The Education Plan**  
**PO Box 219331**  
**Kansas City, MO 64121-9331**

Overnight mailing address:  
**The Education Plan**  
**1001 E 101st Terrace, Suite 200**  
**Kansas City, MO 64131**

## 1. The Education Plan Account Information

$$\square\square\square\square\square - \square\square$$

Account Number **(Required)**

$$\square\square\square - \square\square - \square\square\square\square$$

Social Security Number or Taxpayer Identification Number **(Required)**

[illegible]

Account Owner (First name) **(Required)**

(M.I.)

□ □

Account Owner (Last name) (Required)

$\square\square\square - \square\square\square - \square\square\square\square$

Telephone Number

[illegible]

Beneficiary (First name) (Required)

(M.I.)

[illegible]

Beneficiary (Last name) **(Required)**

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Beneficiary Social Security or Taxpayer Identification Number **(Required)**



\* NM DIR ROLL TO ROTH \*

## 2. Roth IRA Manager or Custodian (*Financial Institution*)

- The receiving Roth IRA must have the same account owner name and Social Security number or Taxpayer Identification number as the beneficiary of your Account in The Education Plan. Please contact the receiving Roth IRA Plan Manager or Custodian for 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

City

State

Zip Code

Telephone Number

## 3. Instructions to The Education Plan

The assets described below will be moved from your Account in The Education Plan to the Financial Institution indicated in **Section 2**.

- The value of the assets being rolled over to the Roth IRA is subject to the annual contribution limit for the taxable year applicable to the beneficiary for all individual retirement plans maintained for the benefit of the beneficiary.

**Check one.**

A. ☐ **Roll over all of the assets in my Account in The Education Plan to the Roth IRA indicated in Section 2.**

B. ☐ **Roll over a partial pro-rated amount of the assets to my Roth IRA.**

\$    ,    .

Amount

C. ☐ **Roll over a partial fund specific amount of the assets to my Roth IRA.**

**Important:** If the dollar amount you indicate for a particular Investment Portfolio exceeds the total balance in the Investment Portfolio as of the previous market close, we will liquidate the total balance of that Investment Portfolio.

Name of Investment Portfolio	Dollar amount (For partial amounts.)	OR	Total balance (Check if applicable.)
<input type="text"/>	\$ <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>		<input type="checkbox"/>
<input type="text"/>	\$ <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>		<input type="checkbox"/>
<input type="text"/>	\$ <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>		<input type="checkbox"/>
<input type="text"/>	\$ <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>		<input type="checkbox"/>
<input type="text"/>	\$ <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>		<input type="checkbox"/>

**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.**

Note: The IRS may issue additional guidance that may impact 529 account rollovers to Roth IRAs. 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 Education Plan Description, 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 529 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 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 529 account has been open and the amount of assets in my 529 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 on my 529 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.

SIGNATURE

Signature of Account Owner

—  —

Date (mm-dd-yyyy)