

CollegInvest Direct Portfolio College Savings Plan Incoming Rollover Form



- Complete this form to initiate a direct rollover of assets from another qualified 529 plan or education savings account (ESA) to an existing account in the Direct Portfolio plan. **Important:** If you haven't established an account, you must also complete and enclose an Enrollment Application. If you're moving assets for more than one beneficiary, complete a separate form for each.
- **Important:** Please contact the financial institution currently holding the assets to verify the correct mailing address, determine the need for a signature guarantee, and find out whether it has any additional requirements for rolling over these assets.
- Print clearly, preferably in capital letters and black ink.

You can download forms from our website at www.collegeinvest.org. Or you can call us to order any form at **800-997-4295** Monday through Friday from 6 a.m. to 7 p.m., Mountain time. Return this form and any other required documents in the enclosed postage-paid envelope or mail to: **CollegInvest Direct Portfolio College Savings Plan, P.O. Box 219931, Kansas City, MO 64121-9931**. For overnight delivery or registered mail, send to: **CollegInvest Direct Portfolio College Savings Plan, 1001 E 101st Terrace, Suite 200, Kansas City, MO 64131**.

1. Type of Rollover *(Check one.)*

- Transfer from another 529 college savings plan.
- Transfer from an education savings account (ESA).
- Transfer from another CollegInvest 529 Plan. **Note:** This option is considered one of your two permitted annual exchanges.

2. CollegInvest Direct Portfolio Account Information

Account Number *(If you haven't established an account, also complete and enclose an Enrollment Application.)*

Name of Account Owner *(first, middle initial, last)*

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Daytime Telephone Number

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Evening Telephone Number

Name of Beneficiary *(first, middle initial, last)*

Last Four Digits of Beneficiary's Social Security Number or Individual Taxpayer ID Number

REMEMBER TO SIGN IN SECTION 5.



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3. Current 529 Plan Manager or Education Savings Account (ESA) Custodian

The 529 plan or ESA from which you are moving assets must have the same account owner name and Social Security number or individual taxpayer ID number as your Direct Portfolio account. Please contact your current 529 plan manager or ESA custodian for the proper mailing address.

Name of Financial Institution (where your current 529 account or ESA is held)

Full Name of 529 Plan (If assets are from an ESA, leave blank.)

Mailing Address of Current Plan Manager or Custodian (the financial institution)

City

State

Zip

Contact Person (if applicable)

 - -

Telephone Number

Check this box if the beneficiary on this account is **different from** the beneficiary indicated in **Section 2**.

4. Instructions to Current 529 Plan or Education Savings Account (ESA) Custodian

The assets described below must all be held by the financial institution indicated in **Section 3**. If you're moving assets from more than one institution, fill out a separate form for each. Your rollover proceeds will be invested according to the allocation instructions on file for your account at the time the assets are received. Rollovers by check won't be available for withdrawal for ten calendar days.

Check and complete one.

A. **Roll over all of the assets in my current account to my Direct Portfolio account.**

Account Number

Estimated account value: \$

B. **Roll over a portion of the assets as directed below.** (To list more than three investments, use a separate sheet.)

Account Number

Name of Investment

 OR \$

All

Dollar Amount

Account Number

Name of Investment

 OR \$

All

Dollar Amount

Account Number

Name of Investment

 OR \$

All

Dollar Amount

5. Signature—YOU MUST SIGN BELOW

If your current 529 plan manager or education savings account (ESA) custodian requires a signature guarantee, do not sign below until you're in the presence of the authorized officer of a bank, broker, or other qualified financial institution. A notary public cannot provide a signature guarantee, nor can you guarantee your own signature.

I certify that I have read the CollegenInvest Direct Portfolio College Savings Plan Disclosure Statement and understand the rules and regulations governing direct rollovers from other 529 plans and ESAs. I understand that IRS regulations permit only one such rollover for the same beneficiary in a 12-month period. I understand that transferring assets from another Colorado plan for the same beneficiary will be treated as a change of investment options, which is allowable tax-free twice per calendar year.

If I have selected an allocation to the Money Market Portfolio, the Income Portfolio, the Conservative Age-Based Option (if the beneficiary is less than 61 days from turning 11 years of age), the Moderate Age-Based Option (if the beneficiary is less than 61 days from turning 16 years of age), or the Aggressive Age-Based Option (if the beneficiary is less than 61 days from turning 19 years of age), the amount to be deposited to such portfolios or options has not been withdrawn or transferred from an account in the CollegenInvest Stable Value Plus College Savings Plan within a period of 61 days before this account opening.

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Signature of Account Owner *(If the account owner is a minor, the designated parent or guardian must sign.)* Date (month, day, year)

Signature Guarantee—IF APPLICABLE

Check with your current 529 plan manager or ESA custodian to determine if a signature guarantee—that is, certification that your signature is genuine—is required below to process this rollover. The lack of a required signature guarantee could delay this rollover.

Signature of Guarantor

Title/Name of Institution


/ /

Date (month, day, year)

Authorized Officer to Place Stamp Here

6. Authorization and Acceptance *(CollegenInvest Direct Portfolio College Savings Plan will complete this section.)*

The CollegenInvest Direct Portfolio College Savings Plan hereby agrees to accept the rollover described herein and, upon receipt, will deposit the proceeds into the account established on behalf of the individual named herein.



Authorized Signature, CollegenInvest Direct Portfolio College Savings Plan

Instructions to Custodian

Send redemption proceeds by check to: **CollegenInvest Direct Portfolio College Savings Plan, P.O. Box 219931, Kansas City, MO 64121-9931**. Make the check payable to *CollegenInvest Direct Portfolio College Savings Plan*. Include the Direct Portfolio account number on the check and enclose a statement detailing a breakdown of contributions and earnings.

