

 **NextGen** Client Direct Series  
Incoming Rollover Form

Complete and submit all pages of this form if you are rolling over all, or part, of the balance of an account with another state's Section 529 plan to a NextGen 529 Client Direct Series Account. If you are rolling over from another state's Section 529 plan, (i) the rollover must be made within 60 days of the withdrawal from that account and (ii) the Designated Beneficiary of the NextGen 529 Account must be a Member of the Family of the Designated Beneficiary of the original Section 529 plan account. Amounts may be rolled over without changing the Designated Beneficiary, provided that only one such rollover is made within a 12-month period. If you do not already have a NextGen 529 Client Direct Series Account, you must also complete a NextGen 529 Account Application. If you would like to transfer assets from an existing NextGen Account to another existing NextGen 529 Account for a different Designated Beneficiary, you must complete a Change of Designated Beneficiary Form. To obtain forms, go to [www.merrilledge.com](http://www.merrilledge.com) or call 877-4-NEXTGEN (877-463-9843).

## 1. NextGen 529 Account Information

NextGen 529 Client Direct Series Account Number

### Participant Information: The Account Owner

Name (Last/First/M.I.) or Name of Custodianship/Trust/Corp./Other

Social Security Number or Taxpayer Identification Number

Participant's Date of Birth (month/day/year)

Street Address (No P.O. Box)

City State ZIP Code Country

Daytime Phone Evening Phone

### Designated Beneficiary Information: The Student

Last Name First Name M.I.

Last four digits of the Designated Beneficiary's Social Security Number

Designated Beneficiary's Date of Birth (month/day/year)

## 2. Current Plan Account Information

Complete this section if the distributing Section 529 plan will accept this document as instructions to liquidate the losing 529 account and send the rollover directly to Merrill. However, the distributing 529 plan may require other paperwork be completed specific to that 529 plan.

**Section 529 Plan Rollover**

**Coverdell Education Savings Account:** I understand that the investment fees and expenses and the financial advisor compensation in the Section 529 account may be more or less than those in the Coverdell Education Savings Account.

Name of Distributing Plan

Distributing Plan Account Number

Mailing Address of Distributing Plan

Participant Name (the Account Owner)

City State ZIP Code Country

Designated Beneficiary Name (the Student)

\* Not required for state or local governments or organizations described in Section 501(c)(3) of the Internal Revenue Code at the time the Account is opened.

### 3. Rollover Instructions

Please complete this section to indicate the amount to rollover to your NextGen 529 Client Direct Series Account and provide it to your current plan provider for processing.

- Entire Account Balance
- Partial Account Balance: \$ \_\_\_\_\_

Acceptable documentation, along with this Incoming Rollover Form, showing the principal and earnings amounts is required at the time the rollover contribution is made, and must be on a check stub or statement from the distributing plan, or letterhead from the distributing plan. Other forms of documentation will not be accepted.

If you do not provide appropriate documentation concerning the breakdown of your contribution by principal and earnings, the entire amount of the contribution will be treated as earnings and may be taxable upon withdrawal.

**Note: Appropriate Documentation Must Be Attached**

Principal Portion of Rollover Contribution:	\$ _____
Earnings Portion of Rollover Contribution:	\$ _____
<b>Total Rollover Contribution:</b>	<b>\$ _____</b>

**PLEASE FOLLOW THESE MAILING INSTRUCTIONS TO AVOID DELAYS IN DELIVERY AND PROCESSING**

For clients serviced by:

**Merrill Edge**  
MSC NJ2-140-02-10  
P.O. Box 1501  
Pennington, NJ 08534  
You may also fax this form to  
866.994.7807.

**Make check payable to:**  
NextGen 529  
FBO (Designated Beneficiary)  
Account # (NextGen 529 Account  
number)

**To distributing Section 529 plan:** This Incoming Rollover Form is authorization to liquidate the above referenced participant's Section 529 assets (Section 2) and forward the proceeds to NextGen 529 Client Direct Series, a qualified tuition program under Section 529 of the Internal Revenue Code. Merrill will accept these assets as a qualifying rollover. If these assets are funded by a UGMA/UTMA account or a Trust Account, please indicate appropriately on the check. Please provide appropriate documentation concerning the breakdown of the Contribution by principal and earnings for the entire amount of the Contribution.

### 4. Signature

I am submitting this Incoming Rollover Form in connection with a request to roll over a withdrawal from an existing qualified tuition program under Section 529 of the Internal Revenue Code or from a Coverdell Education Savings Account. I have read the NextGen 529 Client Direct Series Program Description and Participation Agreement and certify that: (i) my Contribution described in Section 3 above qualifies under applicable federal tax law as a tax-free rollover Contribution to a qualified tuition program, and (ii) I understand that if I do not indicate the principal/earnings breakdown of the rollover Contribution, the entire amount of the Contribution will be treated as earnings and may be taxable upon withdrawal.

X \_\_\_\_\_  
**Signature of Participant**

\_\_\_\_\_  
**Date**

**Signature Guarantee – May be Required**

Important – The Program Manager for the distributing Section 529 plan may require a signature guarantee. Please contact the distributing Section 529 plan to determine if a signature guarantee is required. You may obtain a signature guarantee from a bank, savings association, credit union, or brokerage firm. A notary public cannot provide a signature guarantee.

X \_\_\_\_\_  
**Signature of Guarantor**

\_\_\_\_\_  
**Date**

X \_\_\_\_\_  
**Title / Name of Institution**



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<b>Are Not FDIC Insured</b>	<b>Are Not Bank Guaranteed</b>	<b>May Lose Value.</b>
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