



### 3. Account Owner authorization for direct rollover (cont.)

Name of plan from which assets are being rolled over

Name of company that is surrendering the assets

Address

City

State

Zip

Contact name (if any) at the surrendering company

Telephone

 -  - 

### 4. Existing plan information

Name of Designated Beneficiary of existing plan

Type of account

Another state's 529 plan  Coverdell Education Savings Account  Another 529 plan sponsored by the State of New York<sup>1</sup>

Investment name

Account number

Investment name

Account number

Investment name

Account number

Investment name

Account number

<sup>1</sup>Please note that an allocation from another 529 plan sponsored by the State of New York is considered an investment reallocation and not a rollover and is therefore subject to the once per calendar year limitation. See Program Brochure for details.

## 5. Investment allocation

- Check here if you wish to transfer or rollover to a New York's 529 College Savings Program *Advisor Plan* account that has not been opened for the Designated Beneficiary. Complete an Enrollment Application and attach it to this form. NOTE: You do not need to complete this section. The Plan will use the investment allocations indicated on the Enrollment Application.
- Check here if you wish to transfer or rollover into an existing account in New York's 529 College Savings Program *Advisor Plan* for the Designated Beneficiary. Then complete this section and provide the New York's 529 College Savings Program *Advisor Plan* account number.

**Please invest these rollover assets as follows:** Fill in either the dollar amount or the percentage being rolled over for each portfolio-account. You may choose as few or as many new portfolios as you would like, as long as your investment in each is at least \$1,000. Transfers or rollovers into an existing portfolio-account must be at least \$50. Please note that purchases that do not meet the minimum will be returned to you, which may have tax implications. For additional information, please contact **New York's 529 College Savings Program *Advisor Plan*** at 1-800-774-2108.

Portfolio number	Account number	Unit Class (A, B, C, Z) <sup>1</sup>	Dollar Amount	Percentage amount <sup>2</sup>
<input type="text"/>	- <input type="text"/>	<input type="text"/>	\$ <input type="text"/>	OR <input type="text"/> %
<input type="text"/>	- <input type="text"/>	<input type="text"/>	\$ <input type="text"/>	OR <input type="text"/> %
<input type="text"/>	- <input type="text"/>	<input type="text"/>	\$ <input type="text"/>	OR <input type="text"/> %
<input type="text"/>	- <input type="text"/>	<input type="text"/>	\$ <input type="text"/>	OR <input type="text"/> %
<input type="text"/>	- <input type="text"/>	<input type="text"/>	\$ <input type="text"/>	OR <input type="text"/> %
<input type="text"/>	- <input type="text"/>	<input type="text"/>	\$ <input type="text"/>	OR <input type="text"/> %

<sup>1</sup>Please refer to the applicable Program Brochure for additional information about Class A, B, C or Z shares.

<sup>2</sup>Amounts indicated must equal total dollar amount of contribution or 100%.

## 6. Signature

My signature below certifies that the information contained in this form and in any attachment to this form is true and correct and authorizes a withdrawal from the account(s) listed in section 4. I understand and agree to all terms of this withdrawal as presented on this form and in the Program Brochure. I also certify that either: (i) the new Designated Beneficiary is a "member of the family" of the current Designated Beneficiary; or (ii) the rollover is between CSPs without a Designated Beneficiary change and I have not requested a rollover for the same Designated Beneficiary within the last 12 months.

Some firms may require a Medallion signature guarantee to process a rollover. Please check with your current institution to find out if you need to obtain such a guarantee.

Medallion signature guarantee (by eligible guarantor as explained below)<sup>1</sup>

<sup>1</sup>If your signature requires a guarantee, that guarantee may be provided by a member institution of the Medallion program. A notary public is not qualified to provide a Medallion signature guarantee.

Signature of Account Owner

Date

Signature guaranteed by (if applicable/required)

Date

## 7. New York's 529 College Savings Program *Advisor Plan* representation

**New York's 529 College Savings Program *Advisor Plan*** hereby represents that it will invest the proceeds of the requested rollover in the account described by sections 2 and 5 of this form upon receipt of (i) documentation in good order as determined by the Program Manager and (ii) a check that meets minimum investment requirements. Transactions effected through this form are subject to the terms of the Program Brochure and the Tuition Savings Agreement.

## 8. Important information

### Required documentation

- In the case of a **rollover contribution from another college savings program**, a statement or documentation issued by the distributing college savings program that shows the earnings portion of the withdrawal. In the case of any direct transfer between college savings programs, the distributing program must provide the receiving program with a statement setting forth this information.
- In the case of a **contribution from a Coverdell Education Savings Account**, an account statement or other documentation issued by the financial institution that acted as trustee or custodian of the ESA that shows the total amount contributed to such account and the earnings in the account.
- In the case of a contribution from the **redemption of a Qualified US Savings Bond**, an account statement or Form 1099-INT or other documentation issued by the financial institution that redeemed the bond showing interest from the redemption of the bond.

### Treatment for insufficient documentation:

Until Boston Financial receives the documentation described above, as applicable, **New York's 529 College Savings Program Advisor Plan** will treat the entire amount of the contribution as earnings in the account receiving the contribution.

### Maximum account balance limits

You may transfer or rollover funds to a **New York's 529 College Savings Program Advisor Plan** account for a Designated Beneficiary so long as the aggregate value of assets in all accounts for the same Designated Beneficiary under all college savings programs sponsored by the State of New York (regardless of Account Owner) does not exceed the Maximum Account Balance (\$235,000). **See the Program Brochure and Tuition Savings Agreement for more information.**

Please mail this form and any applicable attachments to:

**New York's 529 College Savings Program Advisor Plan**  
**PO Box 55447**  
**Boston, MA 02205-5447**

New York's 529 College Savings Program *Advisor Plan* is described in the current applicable Program Brochure and Tuition Savings Agreement. Accounts are opened by completing an Enrollment Application. All of these should be read carefully before opening an account. None of the State of New York, its agencies, the Federal Deposit Insurance Corporation (FDIC), Columbia Management Group, LLC or its affiliates, or Upromise Investments, Inc. insures accounts or guarantees the principal deposited therein or any investment returns on any account or investment portfolio. The value of your account will vary based on market conditions and the performance of the investment options you select, and may be more or less than the amount you consider whether that state offers a 529 Plan with tax or other benefits that are not available through this Program. You should consult your tax advisor. Investments may be made through financial advisors who have entered into *Advisor Plan* selling agreements with Columbia Management Distributors, Inc. distributor.

New York's 529 College Savings Program currently includes two separate 529 plans. The *Advisor Plan* is sold exclusively through financial advisors. You may also participate in the *Direct Plan*, which is sold directly by the Program and offers lower fees. However, the investment options available under the *Advisor Plan* are not available under the *Direct Plan*. The fees and expenses of the *Advisor Plan* include compensation to the financial advisor. Be sure to understand the options available before making an investment decision.