

**Important information about this form:**

- Please complete and submit this form to make a rollover from another state's 529 plan, a UGMA/UTMA account, a Coverdell Education Savings Account, qualified U.S. Savings Bonds, or a direct transfer from an existing NextGen 529 account.\* The assets will be allocated based on your investment selection for your receiving NextGen 529 account.
- Carefully read the **NextGen 529 Client Connect Series Program Description** and **Participation Agreement** and any **Supplements** thereto before completing this form.
- Do not use this form to change the Designated Beneficiary of a NextGen 529 account, instead use the **NextGen 529 Client Connect Series Change Designated Beneficiary/Transfer Funds Form**.
- For a rollover from a Coverdell or transfer of UGMA/UTMA assets, the Designated Beneficiary must be the same beneficiary on the original account.
- If you need to open an account to receive this rollover/transfer, complete the online **NextGen 529 Client Connect Series Application** first and have the account number available.
- The Account Owner for a rollover from another state's 529 plan must remain the same. If you would like to change the account owner, please do so on the other 529 account before completing this form.
- For a **direct rollover** from another state's 529 plan directly into your NextGen 529 account, you must have the information available for your other 529 account. The funds will be sent directly to your NextGen 529 account by the plan manager for the other 529 account.
- For **indirect rollovers (checks)** from another state's 529 plan, you must deposit the amount you withdrew within 60 days of withdrawal from the original account or the monies may be subject to tax penalties. Send your check along with this completed form.
- For **direct transfers** from another NextGen 529 account, you must have account information available for your other NextGen 529 account. The funds will be transferred directly to your receiving NextGen 529 Client Connect Series account. If the account has a different Designated Beneficiary, you must complete a Change of Designated Beneficiary Form.
- You can only make one rollover from another 529 plan for the same Designated Beneficiary every 12 months.
- There's a \$545,000 maximum account balance per Designated Beneficiary for NextGen 529 accounts.
- Please note, Maine Matching Grants and the Alford Grant are not eligible to rollover to another 529 plan. Rollovers to another 529 may result in grant forfeiture. See Terms and Conditions of Maine Grant Programs.

**Need help?**

Give us a call Monday – Friday  
from 8am-8pm ET at

**1-833-336-4529**

**(1-833-33NG529)**

Individuals with speech or hearing disabilities may dial 711 to access Telecommunications Relay Service (TRS) from a telephone or TTY.

**Mail the form to:**

NextGen 529  
PO Box 534457  
Pittsburgh, PA 15253-4457

**Overnight Mail:**

NextGen 529  
Attention: 534457  
500 Ross Street, 154-0520  
Pittsburgh, PA 15262

**Fax:**

1-844-751-0017

\* Uniform Gift to Minors Act (UGMA)/Uniform Transfer to Minors Act (UTMA)

## 1 NextGen 529 Connect Series Account Information

This is the existing or new NextGen 529 account you're rolling assets into.

Please complete an online **NextGen 529 Connect Series Account Application** before submitting this form. Go to [NextGenforme.com](https://NextGenforme.com).

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Name of Participant/Account Owner (First and Last)

\_\_\_\_ \_

Participant/Account Owner's Last 4 Digits of Social Security or Taxpayer Identification Number

\_\_\_\_ \_

NextGen 529 Connect Account Number

\_\_\_\_ \_ - \_\_\_\_ \_ - \_\_\_\_ \_

Telephone Number

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Designated Beneficiary Name (First and Last)

\_\_\_\_ \_

Designated Beneficiary's Last 4 Digits of Social Security or Taxpayer Identification Number

## 2 Rollover or direct transfer type

Select the type of rollover you want to make and follow the assigned steps.

- Direct Rollover** - Rollover assets directly from another state's 529 account into your NextGen 529 Connect account. (Continue to **Step 3**)
  
- Direct Transfer** - Request a transfer of assets from another NextGen 529 account. (Continue to **Step 4**)
  
- Indirect Rollover** (checks) - Contribute assets that have been withdrawn from another state's 529 account, UGMA/UTMA account, Coverdell Education Savings Account or qualified U.S. Savings Bonds into your NextGen 529 account. (Continue to **Step 6**)

**3 Other 529 plan information (if applicable)**

Only complete this step if you're making a direct transfer or rollover directly from another 529 account.

\_\_\_\_\_  
Other 529 Plan Name

\_\_\_\_ \_  
Other 529 Plan State Sponsor (2-character state abbreviation)

\_\_\_\_\_  
Other 529 Plan Account Number

**Other 529 Plan Address**

\_\_\_\_\_  
Street Address 1

\_\_\_\_\_  
Street Address 2

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_ - \_\_\_\_  
ZIP Code

\_\_\_\_\_  
Name of Account Owner on Other 529 Account (First and Last)

\_\_\_\_ \_  
Participant/Account Owner's Last 4 Digits of Social Security or Taxpayer Identification Number  
If you need to change the account owner on the other 529 account, please make the change with the other 529 plan before completing this form.

\_\_\_\_\_  
Email Address Associated with the Other 529 Account

\_\_\_\_\_  
Name of Designated Beneficiary (First and Last)

\_\_\_\_ \_  
Designated Beneficiary's Last 4 Digits of Social Security or Taxpayer Identification Number

\_\_\_\_\_  
Designated Beneficiary's Date of Birth (MM/DD/YYYY)

For Direct Transfer, continue to Step 4. For Direct Rollover, continue to Step 5

## 4 Direct transfer information (if applicable)

Please provide the information below and submit a copy of the most recent statement from the other NextGen 529 account along with this form.

\_\_\_\_\_ \$ \_\_\_\_\_ , \_\_\_\_\_ . \_\_\_\_\_  
Principal Portion of Rollover Amount  
Contribution

\_\_\_\_\_ \$ \_\_\_\_\_ , \_\_\_\_\_ . \_\_\_\_\_  
Earnings Portion of Rollover Amount  
Contribution

Total Rollover Contribution \$ \_\_\_\_\_ , \_\_\_\_\_ . \_\_\_\_\_  
Full rollover amount  
(There's a \$545,000 maximum account balance per Designated Beneficiary)\*

Continue to **Step 7**

## 5 Direct rollover information\*\*

How much are you rolling over from the other 529 account?

**Entire account balance**     
  **Partial account balance**     
 \$ \_\_\_\_\_ , \_\_\_\_\_ . \_\_\_\_\_  
 Amount

Continue to **Step 7**

\* Please note, the designated beneficiary must be the same on both of the NextGen 529 accounts.

\*\* **To distributing 529 plan:** This Incoming Rollover Form is authorization to liquidate the above referenced participant's 529 assets as instructed and forward the proceeds to the NextGen 529 Connect account, a qualified tuition program under Section 529 of the Internal Revenue Code. NextGen 529 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.

**6 Indirect rollover (checks) information**

What is the source of the funds for this rollover? Provide information along with your check.

- Another state's 529 account**  
Unless coming directly from the other 529 account, the assets from the other 529 account must be deposited within 60 days of withdrawal. Please provide the information below and submit a copy of the most recent statement from the other 529 account along with your check and this form.
- Proceeds of the withdrawal of UGMA/UTMA assets**  
Please provide the principal and earnings information below and submit an account statement with these amounts along with your check and this form.
- Proceeds of the withdrawal from a Coverdell Education Savings Account**  
Please provide the principal and earnings information below and submit an account statement with these amounts along with your check and this form.
- Proceeds of the withdrawal from qualified U.S. Savings Bonds**  
Please provide the breakdown of principal and earnings below and submit a Form 1099 with these amounts along with your check and this form.

|  |                                    |
|--|------------------------------------|
| Principal Portion of Rollover Contribution | \$ _____ , _____ . _____<br>Amount |
|--|------------------------------------|

|   |                                    |
|---|------------------------------------|
| Earnings Portion of Rollover Contribution | \$ _____ , _____ . _____<br>Amount |
|---|------------------------------------|

|                             |   |
|-----------------------------|---|
| Total Rollover Contribution | \$ _____ , _____ . _____<br>Full rollover amount<br>(There's a \$545,000 maximum account balance per Designated Beneficiary)* |
|-----------------------------|---|

\* Rollovers that would cause the NextGen 529 account to exceed the \$545,000 per Designated Beneficiary contribution maximum account balance will be rejected in their entirety.

## 7 Sign the form

By signing this, you're agreeing to these statements:

- I confirm that I received, reviewed, understand, consent, and agree to all the terms and conditions of the **NextGen 529 Client Connect Series Program Description and Participation Agreement** as they relate to this rollover request.
- I authorize the identified other 529 plan manager, or its designee, to roll over assets into the NextGen 529 account according to these instructions.
- I certify that this is the only rollover relating to my account within the last 12 months.
- I certify that the new Designated Beneficiary qualifies as a Member of the Family as defined in Section 529 of the Internal Revenue Code.
- I understand that I cannot complete this transaction or make additional contributions if the contribution would cause the value of my NextGen 529 accounts to exceed \$545,000 per Designated Beneficiary.
- I understand that if this is an indirect rollover, the Participant/Account Owner is responsible for providing NextGen 529 with a statement that certifies the breakdown of the assets being rolled over. I further understand that until such statement is provided, NextGen 529 will treat the entire rollover as earnings.
- I understand that a rollover that doesn't meet the above conditions may result in the earnings portion of the contribution being considered a non-qualified withdrawal subject to federal income tax and an additional 10% federal tax, and may be subject to state or local income tax.
- I certify that the above is, to the best of my knowledge, accurate data regarding the rollover of assets in the referenced account and that the NextGen 529 Program Manager is relying on the information provided in this form to carry out my rollover instructions. I further certify that I have signing authority over both the NextGen 529 account and the account from which assets are being rolled over.

\_\_\_\_\_  
Signature of Participant/Account Owner

\_\_\_\_\_  
Date (MM/DD/YYYY)

Vestwell State Savings, LLC ("Vestwell") is the program manager, The Bank of New York Mellon is the program custodian, BlackRock Advisors, LLC is the program investment manager, and Northern Lights Distributors, LLC is the Connect Series distributor.

**Investment products are not FDIC insured, are not bank guaranteed, and may lose value.**



**Program Manager**



**Program Administrator**

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