



Incoming Rollover Form

Complete this Form to Roll Over Another 529 Plan or Coverdell to the NEST Advisor College Savings Plan.

Return this Form to:

NEST Advisor 529
P.O. Box 84529
Lincoln, NE 68501-4529

Overnight Mail:

NEST Advisor 529
3606 South 48th Street
Lincoln, NE 68506

If you have questions, please call us at **888.659.6378**, Monday–Friday, 7 a.m. to 7 p.m. (CT).

1. Type of Rollover/Transfer (Please only check A, B, or C)

- ☐ **A. An Out-of-State 529 College Savings Plan**
- ☐ **B. Coverdell Education Savings Account (CESA)**
- ☐ **C. Re-allocation from another Nebraska State-Issued 529 Plan***
- ☐ NEST Direct College Savings Plan
- ☐ TD Ameritrade 529 College Savings Plan
- ☐ State Farm 529 Savings Plan

*The Internal Revenue Service considers a transfer from another 529 plan sponsored by the State of Nebraska to be an investment change. You are limited to two investment changes each calendar year.

2. NEST Advisor Plan Account Information

If you roll over money into more than one Account in the Plan for the same Beneficiary, the rollovers will be treated as a single rollover, so long as they occur before the close of the financial markets on the same trading day.

NEST Advisor Plan Account Number(s):** _____

Account Owner Legal Name (First, M.I., Last): _____

Beneficiary Legal Name (First, M.I., Last): _____

Last 4 digits of Beneficiary's Social Security Number or Taxpayer Identification Number: _____

**If you do not have an existing NEST Advisor Plan Account, you must complete a NEST Advisor Plan Enrollment Form.

3. Account to be Rolled Over (PLEASE PROVIDE A COPY OF A CURRENT ACCOUNT STATEMENT)

529 Plan Name (if CESA, leave blank): _____

Account Number: _____

Name of 529 Program Manager or CESA Custodian: _____

Address of 529 Program Manager or CESA Custodian: _____

City, State, Zip: _____

Phone Number of 529 Program Manager or CESA Custodian: _____

Current 529 or CESA Account Owner: _____

(must be the same as your NEST Advisor Plan)

Current 529 or CESA Account Beneficiary (Check A or B)

- ☐ **A. Same Beneficiary** as Section 2.
- ☐ **B. Different Beneficiary** than Section 2. Beneficiary Name _____
- Relationship to Beneficiary*** in Section 2 : _____

***Must be a Member of the Family of the Beneficiary identified in Section 2 above. See the Program Disclosure Statement for the definition of a Member of the Family.

4. Rollover Instructions to Current 529 Program Manager or CESA Custodian

☐ **Full Liquidation** (Roll over ALL assets in my current account to my NEST Advisor Plan Account.)

Estimated Value: \$ _____

☐ **Partial Liquidation** _____% of account or as follows:

Fund Name	Account Number	Dollar Amount		
_____	_____	\$ _____	or	☐ ALL
_____	_____	\$ _____	or	☐ ALL
_____	_____	\$ _____	or	☐ ALL

5. Instructions if Assets Have Been Redeemed

A check is included from an Out-of-State 529, CESA, or qualified U.S. Savings Bond that was redeemed in the last 60 days. You must provide a statement from the prior financial institution or IRS Form 1099-Q or 1099-INT showing the contribution and earnings portion of the redemption. If these forms are not provided the entire amount will be treated as earnings.

☐ **An Out-of-State 529 Plan**

☐ **Coverdell Education Savings Account**

☐ **Qualified U.S. Savings Bond Proceeds**

Total Amount of Redemption: \$ _____

Principal Amount of Redemption (basis): \$ _____

Earnings Amount of Redemption: \$ _____

6. Signature and Authorization

I hereby authorize and direct the rollover indicated above and certify that I have read the Program Disclosure Statement and understand the rules and requirements governing rollovers from other 529 plans or Coverdell Education Savings Accounts.

I certify that if I have already redeemed the rollover amount for deposit into a NEST Advisor College Savings Plan Account, this request is within 60 days of the withdrawal.

IMPORTANT: I certify that this rollover is for the same Beneficiary and that there have been no other rollovers between 529 plans for this Beneficiary in the previous 12 months OR that this rollover is for a different Beneficiary and the Beneficiary on the NEST Advisor College Savings Plan Account is a Member of the Family (as defined in the Program Disclosure Statement) of the Beneficiary on the current 529 plan account I am rolling over.

I certify that all the information contained herein is true and correct.

I acknowledge that the rollover of funds to the NEST Advisor College Savings Plan may have special tax consequences and that neither the Trustee, the Program Manager, nor the Trust will be responsible for the tax consequences of any such rollover.

I understand a transfer from another 529 plan sponsored by the State of Nebraska is considered an investment change and counts against the two investment change limitation per calendar year. Rollover proceeds will be invested according to my current investment election on file with the NEST Advisor College Savings Plan for my Account(s) at the time the assets are received.

By signing below, I authorize the NEST Advisor College Savings Plan to inquire into issues relating to the transfer of my account and for the current 529 program manager or Coverdell Education Savings Account custodian to provide information to the NEST Advisor College Savings Plan as they may request.

Signature and Date Required

X

Signature of Account Owner, Custodian (UGMA/UTMA Accounts), or Trustee

Date

Print Name Here

Title (if other than an individual)

Medallion Signature Guarantee

Contact your current 529 program manager or CESA custodian to determine if a Medallion Signature Guarantee is required. Many do require a Medallion Signature Guarantee. Without this, the rollover may be delayed. If a Medallion Signature Guarantee is required, please wait to sign until you are in the presence of the bank officer or official who will provide the Medallion Signature Guarantee. A notary public CANNOT provide a signature guarantee.

MEDALLION SIGNATURE GUARANTEE

Note to Guarantor:
Medallion imprints must be fully legible and must not be dated or annotated.

Signature must be stamped with a Medallion Signature Guarantee by a qualified financial institution, such as a commercial bank, savings and loan, U.S. stock broker and security dealer, or credit union, that is participating in an approved Medallion Signature Guarantee program.

(A NOTARY SEAL IS NOT ACCEPTABLE)



UBT
Union Bank & Trust
Program Manager

Northern Trust
Securities, Inc.
Distributor

Nebraska Educational Savings Plan Trust, Issuer. Nebraska State Treasurer, Trustee. Nebraska Investment Council, Investment Oversight. Union Bank and Trust Company, Program Manager. Northern Trust Securities, Inc. Distributor, Member FINRA, SIPC.

7. Authorization and Acceptance

The NEST Advisor College Savings Plan hereby agrees to accept the rollover described herein and upon receipt will deposit the proceeds in the Account(s) established on behalf of the Account Owner named herein.

Authorized Signature – NEST Advisor College Savings Plan

INSTRUCTIONS to 529 PLAN OR CUSTODIAN

Send redemption proceeds by check to:

NEST Advisor College Savings Plan

P.O. Box 84529

Lincoln, NE 68501

Make the check payable to NEST Advisor Plan. Include the Account Owner name and the NEST Advisor College Savings Plan Account number(s) on the check (if available). Please enclose a statement that shows the principal and earnings breakdown.