

Coverdell ESA Transfer Form

PO Box 219109 • Kansas City, MO 64121-9109 • 800-525-1093

Use this form to transfer your Coverdell Education Savings Account (ESA) from another institution directly to a Coverdell ESA at Janus Henderson.

- If you are opening a new account with this transfer, please enclose a Janus Henderson Coverdell ESA Application.
- Print in capital letters using black ink.

Questions?

Call us at **800-525-1093**

Step 1 - Please provide the following information

Student's Name

Student's Social Security Number

Student's Date of Birth

Responsible Individual's Name

Responsible Individual's Social Security Number

Address

City

State

Zip Code

Phone Number

Additional Phone Number (optional)

Remember to sign on the last page

Step 2 - How would you like your transferred assets invested at Janus Henderson? (check one)

Option A

☐ Open a new account, and deposit the proceeds as indicated on the enclosed Coverdell ESA Application.

Option B

☐ Deposit the proceeds into my existing Janus Henderson Coverdell ESA as indicated below.

_____	_____	_____
Fund Name or Number	Existing Janus Henderson Account Number	% or \$ Amount
_____	_____	_____
Fund Name or Number	Existing Janus Henderson Account Number	% or \$ Amount
_____	_____	_____
Fund Name or Number	Existing Janus Henderson Account Number	% or \$ Amount

Step 3 - Tell us about the Coverdell ESA you'd like transferred and attach a copy of your most recent account statement for the account you are transferring to Janus Henderson

What names are on your existing Non-Janus Henderson account?

Name of the Student

Name of Responsible Individual

Account Number of the Coverdell ESA you are Transferring to Janus Henderson

Remember to sign on the last page

Step 3 - Continued

Where are the assets currently invested?

Name of the Firm that Currently Holds Your Assets

Attention (Person or Department)

Address of Resigning Trustee, Custodian or Institution

City

State

Zip Code

Phone Number

The approximate total amount of my transfer is \$ _____.

Please liquidate the ESA and forward the following assets to Janus Henderson.

- ☐ **All Assets**
- ☐ **Portion of Assets (specify below)**

Complete Transferring Fund Name

% or \$ Amount

Complete Transferring Fund Name

% or \$ Amount

Complete Transferring Fund Name

% or \$ Amount

For Certificates of Deposit (check one)

- ☐ Transfer immediately
- ☐ Transfer upon maturity (date of maturity)* _____

*Please send us this form at least two weeks prior to maturity.

Please include a copy of your current Non-Janus Henderson account statement.

Remember to sign on the last page

Step 4 - To expedite your request, we recommend you contact your current firm to determine if they have any additional requirements, such as:

- ☐ Assets may need to be liquidated prior to transfer.
- ☐ Signature Guarantee may be required.
- ☐ Outstanding fees may be owed.
- ☐ Specific asset transfer address.

Step 5 - Please read and sign below

Please liquidate assets as indicated in Step 3, and forward the assets to Janus Henderson. I understand that this transfer of assets is to be executed as a fiduciary-to-fiduciary transfer so as not to put me in actual or constructive receipt of all or any part of the transferred assets. I have established a Coverdell ESA at Janus Henderson to receive this transfer.

X

Signature of Responsible Individual

Date

Printed Name of Responsible Individual

SIGNATURE GUARANTEE STAMP
(Including Medallion Guarantees)

PLACE GUARANTEE STAMP AND AUTHORIZED SIGNATURE INSIDE OF THE SPACE PROVIDED ABOVE. DO NOT OVERLAP ANY PART OF THE STAMP AND/OR SIGNATURE WITH OTHER TEXT IN THE APPLICATION.

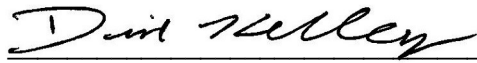
A signature guarantee assures a signature is genuine and protects you from unauthorized requests on your account. Financial institutions that may guarantee signatures include banks, savings and loans, trust companies, credit unions, broker/dealers and member firms of a national securities exchange. Contact the financial institution you intend to obtain a signature guarantee from for further information. **A notary public cannot provide a signature guarantee.**

FOR OFFICE USE ONLY – DO NOT WRITE BELOW THIS LINE

To Be Completed By Janus Henderson

To Resigning Trustee

State Street Bank and Trust Company accepts appointment as Successor Custodian. We have established a Coverdell ESA for the named participant and will accept the transfer of plan assets on a fiduciary-to-fiduciary basis.



David Kelley, President

State Street Bank and Trust Company Authorized Signature

Note To Resigning Trustee

Please make check payable to: **Janus Henderson FBO**

Investor's Name

File Number

Please send check to:

Janus Henderson

PO Box 219109

Kansas City, MO 64121-9109

Janus Henderson Overnight / Physical Address:

Janus Henderson

430 W 7th Street, Suite 219109

Kansas City, MO 64105-1407

Copies of this document shall be treated as original for all purposes. Void if not signed by account owner.