# **Coverdell ESA Transfer Form**

-INVESTORS-

## 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 800-525-1093.

**Note:** You must be a current Janus Henderson retail shareholder or a member of their immediate family or household to open a new account directly with Janus Henderson. Please provide the information required in Section 1 of the application to establish your eligibility.

# 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	
Street Number	Street Name	Apartment Number
City	State	Zip Code
Phone Number	Additional Phone Number (optional)	

### 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
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# 3. Tell us about the Coverdell ESA you'd like transferred and <u>attach a copy of your most recent</u> <u>account statement</u> for the account you are transferring to Janus Henderson.

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

Nan	ne of the Student	Name of Responsible Individual	
Acc	ount Number of the Coverdell ESA you are Transfe	rring to Janus Henderson	
Wh	ere are the assets currently invested	?	
Nan	ne of the Firm that Currently Holds Your Assets		
Atte	ntion (Person or Department)		
Add	ress of Resigning Trustee, Custodian or Institution		
City		State	Zip Code
-			
Pho	ne Number		
The	e approximate total amount of my tra	nsfer is \$	
Ple	ase liquidate the ESA and forward the	following assets to Janus Henderson.	Portion of Assets (specify
	ow)	<b>.</b>	
Con	nplete Transferring Fund Name		% or \$ Amount
Con	nplete Transferring Fund Name		% or \$ Amount
Con	nplete Transferring Fund Name		% or \$ Amount
Fo	r Certificates of Deposit (check one)		
	Transfer immediately		
	Transfer upon maturity (date of maturity		
	*Please send us this form at least two weeks prio	r to maturity.	

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

# 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.

### 5. Please read and sign below.

Please liquidate assets as indicated in Section 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.

### Х

Signature of Responsible Individual

Date

Printed Name of Responsible Individual

### SIGNATURE GUARANTEE STAMP (Including Medallion Guarantees)



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.

Douglas J. Laird, 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.