

# COVERDELL EDUCATION SAVINGS ACCOUNT TRANSFER OF ASSETS FORM



THE HENSSLER  
EQUITY FUND  
*Lighting the Way*

## SECTION 1: Responsible Individual

Responsible Individual's Name (*Last, First, Middle Initial*)

Responsible Individual's Social Security Number \_\_\_\_\_ Date of Birth (*MM/DD/YY*) \_\_\_\_\_

Address of Residence - *P.O. Box is not accepted*

City, State, Zip Code

Mailing Address - *If different from above (P.O. Boxes accepted)*

( ) \_\_\_\_\_ ( ) \_\_\_\_\_  
Day Phone Evening Phone

E-mail Address

## SECTION 2: Designated Beneficiary

Beneficiary's Name (*Last, First, Middle Initial*)

Beneficiary's Social Security Number \_\_\_\_\_ Date of Birth (*MM/DD/YY*) \_\_\_\_\_

Address of Residence - *P.O. Box is not accepted*

City, State, Zip Code

Mailing Address - *If different from above (P.O. Boxes accepted)*

( ) \_\_\_\_\_ ( ) \_\_\_\_\_  
Day Phone Evening Phone

E-mail Address

## SECTION 3: Current Custodian

To avoid delays please check with your current Custodian for the correct address and to find out if they require a signature guarantee. Attach a copy of the current account statement.

Name of Current Custodian or Agent

Mailing Address - (*P. O. Box or Street, City, State, Zip Code*)

( ) \_\_\_\_\_ ( ) \_\_\_\_\_  
Day Phone Evening Phone

## SECTION 4: Investment Instructions

### Type of Request

- I am opening a new account(s) and have attached the required application(s) and document(s).
- I already have an The Henssler Equity Fund Coverdell ESA Account. Please invest proceeds into my account.

### Existing Coverdell ESA Account Number

Use the investment instruction below to identify the amounts for this deposit; otherwise the investment instructions on your original application will be used.

### Investment Minimums:

Investor Class - \$500 minimum investment  
\$100 subsequent investment

Fund Name	Amount
The Henssler Equity Fund, Investor Class	\$ _____
<b>Total Amount</b>	<b>\$ _____</b>

## SECTION 5: Transfer Instructions

The following investment(s) will be transferred to Fifth Third Bank as Custodian for the The Henssler Equity Fund Coverdell ESA.

For Certificates of Deposit, redeem:  Immediately  At Maturity Date

### Investment #1

\_\_\_\_\_  
The Henssler Equity Fund, Investor Class (*or Type of Investment to be transferred*)

Account Number

- Liquidate  Transfer in Kind
- Entire Account  Partial Account \$ \_\_\_\_\_ or \_\_\_\_\_ %

### Investment #2

\_\_\_\_\_  
The Henssler Equity Fund, Investor Class (*or Type of Investment to be transferred*)

Account Number

- Liquidate  Transfer in Kind
- Entire Account  Partial Account \$ \_\_\_\_\_ or \_\_\_\_\_ %

## SECTION 6: Instructions to the Responsible Individual

### Please Read Carefully

This form will be used by the The Henssler Equity Fund to initiate a transfer of assets to your Coverdell ESA at the The Henssler Equity Fund. Please remember that a TRANSFER OF ASSETS can only occur between the **SAME** types of retirement plans (for example Coverdell to Coverdell).

**SECTION 6: Instructions to the Responsible Individual (con't)**

For certificates of deposit, please indicate if you wish to have the funds transferred immediately, which may incur a redemption penalty if they have not matured, or at maturity. We cannot accept requests to transfer assets from certificates more than 60 days prior to their maturity. When completed, please return the signed form, a copy of your current account statement, and the appropriate new account application for your Coverdell ESA (if required) to:

**Mailing Address**  
The Henssler Equity Fund  
P.O. Box 8796  
Denver, CO 80201

**Overnight Address**  
The Henssler Equity Fund  
1290 Broadway, Suite 1100  
Denver, CO 80203

**SECTION 7: Instructions to Resigning Custodian/Transfer**

Please liquidate the Participant's account(s) as specified in Section 5 of this application. Issue a check payable as indicated below and mail along with any other instructions to:

**Mailing Address**  
The Henssler Equity Fund  
P.O. Box 8796  
Denver, CO 80201

**Overnight Address**  
The Henssler Equity Fund  
1290 Broadway, Suite 1100  
Denver, CO 80203

**SECTION 8: Signatures**

I authorize the transfer of assets as noted above to my The Henssler Equity Fund Coverdell ESA and Fifth Third Bank to process this request on my behalf. I understand, as the Responsible Individual, it is my responsibility to assure the prompt transfer of assets by the current Custodian. I have read and understand all information in the instructions and hereby provide the applicable direct rollover certification.

\_\_\_\_\_  
Signature of Responsible Individual Date (MM/DD/YY)

**SECTION 9: Medallion Signature Guarantee**

A **Medallion Signature Guarantee** is required when distributing money to an address/bank other than the address/bank of record or making the payment to a party other than the owner of record.

To protect yourself against fraud, your signature(s) must be guaranteed ("**Medallion Signature Guarantee**") by any "eligible" guarantor. Signatures notarized by a Notary Public are not acceptable.

A **Medallion Signature Guarantee** is required for adding or changing bank information in addition to authorizing wire transfers on this account.

- Eligible guarantor's:
- Commercial Banks
  - Credit Unions
  - Member Firms of a domestic stock exchange
  - National Securities Exchange & Savings  
(STAMP, SEMP, NYSE-MSP participation)
  - Savings Associations
  - Trust Companies

[STAMP]

\_\_\_\_\_  
Medallion Signature Guarantee Stamp (ID Required)

\_\_\_\_\_  
Bank or Dealer Firm

\_\_\_\_\_  
Officer's Title

\_\_\_\_\_  
Officer's Signature Date (MM/DD/YY)

**SECTION 10: Fifth Third Bank**

Fifth Third Bank, accepts its appointment as Custodian of the referenced Coverdell ESA and has established a Coverdell ESA as indicated on the front of this form under the Internal Revenue Code Section 530 for Coverdell ESAs under the shareholder's name in the The Henssler Equity Fund. The Henssler Equity Fund and Fifth Third Bank, as Custodian, cannot accept assets other than cash in the form of a check. Upon receipt of the check, the proceeds will be credited to the named Participant's account.

Accepted by Fifth Third Bank, as Custodian for the The Henssler Equity Fund Coverdell ESAs.

\_\_\_\_\_  
Fifth Third Bank Date (MM/DD/YY)  
Authorized Representative

**Please mail completed form to:**

**Mailing Address**  
The Henssler Equity Fund  
P.O. Box 8796  
Denver, CO 80201

**Overnight Address**  
The Henssler Equity Fund  
1290 Broadway, Suite 1100  
Denver, CO 80203

If you have any questions, please contact an Investor Service Representative at 1-800-936-3863 or visit [www.henssler.com](http://www.henssler.com).