



# Coverdell Education Savings Account (ESA) Transfer Form

You may use this form to effect a direct transfer from an existing COVERDELL ESA with another custodian to a COVERDELL ESA with BARON CAPITAL®. The assets may be from another fund family or within BARON CAPITAL®. **Note:** If you are a new client (not transferring money into an already existing account) please fill out a BARON CAPITAL® COVERDELL EDUCATION SAVINGS ACCOUNT CUSTODIAL ADOPTION AGREEMENT as well. Make sure you attach a copy of your existing account statement and any other forms required by your current custodian/trustee. **For information and to request forms, call:** 1-800-442-3814, Monday – Friday, 9:00AM – 5:00PM ET, or visit [www.BaronCapitalGroup.com](http://www.BaronCapitalGroup.com). **See section 5 for mailing instructions.**

## 1. Account Registration – Required

### Adult Information

(See Instructions – Only one Adult should be listed)

☐ Mother ☐ Father ☐ Guardian\*

\*If “guardian,” submit proof of guardianship.)

Adult’s name (First, M.I., Last) – Required

Adult’s SSN/U.S. Tax ID – Required

Date of Birth (MM/DD/YYYY) – Required

Street (P.O. Box not acceptable, with the exception of APO/FPO) – Required

City – Required

State – Required

Zip – Required

Daytime phone

Evening phone

Email Address

By signing below, I authorize and direct the current custodian to make the transfer specified in this form.

Signature

Date

**Note:** the “Adult” is the same individual described as the “Responsible Individual” in Articles I–X of the Custodial Account Agreement.

### Student Information (See Instructions)

Student’s name (First, M.I., Last) – Required

Student’s SSN/U.S. Tax ID – Required

Date of Birth – Required

Street (P.O. Box not acceptable, with the exception of APO/FPO) – Required

Other Information (Suite, Attention, etc.)

City – Required

State – Required

Zip – Required

Daytime phone

Evening phone

Email Address

## 2. Investment Instruction

☐ Invest the transferred amount in accordance with the investment instructions currently in effect for the Student’s Baron Capital® Coverdell Education Savings Custodial Account.

☐ Invest the transferred amount as follows:

### Name of Fund

### Account Number Amount

(If already established) (\$ or % of Assets)

☐ Baron Asset Fund (585) BARAX

☐ Baron Discovery Fund (572) BDIFFX

☐ Baron Durable Advantage Fund (5005) BDAFX

☐ Baron Emerging Markets Fund (575) BEXFX

☐ Baron Fifth Avenue Growth Fund (579) BFTHX

☐ Baron Focused Growth Fund (578) BFGFX

☐ Baron Global Opportunity Fund (573) BGAFX

☐ Baron Growth Fund (587) BGRFX

☐ Baron Health Care Fund (5007) BHCFX

☐ Baron International Growth Fund (577) BIGFX

☐ Baron India Fund (5009) BINRX

☐ Baron Opportunity Fund (580) BIOPX

☐ Baron Partners Fund (586) BPTRX

☐ Baron Real Estate Fund (576) BREFX

☐ Baron Real Estate Income Fund (5006) BRIFX

☐ Baron Small Cap Fund (583) BSCFX

☐ Baron WealthBuilder Fund TA Shares  
(5034) BWBTX

### TOTAL

The undersigned acknowledges having sole responsibility for the foregoing investment choices and having received the current prospectus(es) for each Fund selected. I have been advised to read the prospectus(es) of the Fund(s) selected carefully before investing.

The undersigned understands that the requirements for a valid transfer between Coverdell ESAs are complex and acknowledges having responsibility for complying with all requirements and for the tax results of any such transfer.

## 3. Instructions to my current Custodian

I have established a BARON CAPITAL® Coverdell ESA with UMB Bank, N.A. as Custodian. Please transfer or liquidate assets from my account in your custody in the following manner and send a check payable to UMB Bank, N.A. Coverdell ESA FBO student’s name and social security number. Mail to Baron Capital, P.O. Box 219946, Kansas City, MO 64121-9946. Or Overnight to: Baron Capital® c/o DST Systems, 430W. 7th Street, Kansas City, MO 64105-1514.

### TRANSFER

☐ Transfer the total amount in this Account **OR**

☐ Transfer \$\_\_\_\_\_ and retain the balance.

4. Current Custodian Account Information

Current Account Number – Required

Custodian Name

Current Fund Name/Class

Custodian Address:

Street

City

State

Zip

5. Mailing

Please mail the completed transfer form and adoption agreement form with your contribution to:  
**Regular Mail:** BARON CAPITAL®, P.O. BOX 219946, KANSAS CITY, MO 64121-9946  
**Overnight Mail:** BARON CAPITAL®, 801 PENNSYLVANIA AVE, SUITE 219946, KANSAS CITY, MO 64105-1307

6. Signature and Authorization – Required

The undersigned certifies that the undersigned has established a successor BARON CAPITAL® Coverdell Education Savings Custodial Account meeting the requirements of Internal Revenue Code Section 530(b) to which assets will be transferred, that the Coverdell ESA from which assets are being transferred meets the requirements of Internal Revenue Code Section 530(b) and that the transfer satisfies the requirement for a nontaxable transaction.

Signature of Student/Adult

(Please circle one of the above)

**Special Note:** If Student is a minor under the law of Student’s state of residence, the Adult must execute this Coverdell Education Savings Account Transfer Form.

MEDALLION SIGNATURE GUARANTEE (only if required by current custodian or trustee)

Bank or Dealer Firm

Date (MM/DD/YYYY)

Signature of Authorized Officer of Guarantor

Title

(NOTE: Signature guarantee by a notary public is NOT acceptable)

MEDALLION SIGNATURE GUARANTEE STAMP

ACCEPTANCE BY NEW CUSTODIAN

UMB Bank, N.A. agrees to accept transfer of the above amount for deposit to the Student’s BARON CAPITAL® Coverdell Education Savings Custodial Account and requests the liquidation and transfer of assets as indicated above.

UMB Bank, N.A., Custodian

Signature of Custodian

TRANSFER FORMS THAT ARE UNSIGNED OR INCOMPLETE WILL BE RETURNED TO YOU.