

5. Releasing 529 Account Information – 529 Account is moving from this provider.

529 Account Number: _____

Releasing Company Name (not agent): _____

Address: _____

City/State/ZIP: _____

Fax (if applicable): _____

6. Mailing Instructions

Please make checks payable to:

WEA Member Benefits

FBO (_____ and _____)

c/o Newport Trust Company

P.O. Box 22214

New York, NY 10087-2214

7. Signature and Authorization to Liquidate

By signing below, I certify that the information contained in this form, and in any required documentation, is true, complete, and correct.

Note: The IRS may issue additional guidance that may impact 529 account rollovers to Roth IRAs. Please consult a financial professional or tax advisor regarding the applicability of these rollovers to your personal situation.

- I certify that I have read, understand, consent, and agree to all the terms and conditions of the WEA Member Benefits IRA program, and understand the rules and regulations governing rollover contributions to Roth IRAs from 529 plans, and that the rollover I am requesting meets all the requirements and conditions required for an eligible rollover of assets to Roth IRAs from 529 plans.
- I understand that my 529 account must be open for 15 or more years to qualify for a rollover to a Roth IRA.
- I understand that IRS regulations permit a lifetime maximum amount of \$35,000 per beneficiary to be rolled over from 529 accounts to Roth IRAs.
- I understand that 529 contributions and associated earnings must be in my account for more than 5 years to qualify for a rollover to a Roth IRA.
- I understand that I am responsible for tracking and documenting the length of time my 529 account has been open and the amount of assets in my 529 account eligible to be rolled into a Roth IRA.
- I understand that 529 assets can only be rolled over into a Roth IRA maintained for the benefit of the Beneficiary on my 529 account.
- I understand that the Roth IRA contribution is subject to the Roth IRA contribution limit for the taxable year applicable to the beneficiary for all individual retirement plans maintained for the benefit of the beneficiary.

I request liquidation and rollover of the previously indicated amount of my 529 account. I understand my 529 account rollover contributions will be invested according to the receiving Roth IRA account allocations on file. I acknowledge I received WEA Form CRS with my signature.

Participant's Signature (required) _____ **Date** _____



<p>Item 1: Introduction</p>	<p>WEA Investment Services, Inc., (“WEA IS,” “we,” “our,” or “us”) is a member of the Financial Industry Regulatory Authority (FINRA). WEA IS is a subsidiary of the WEA Member Benefit Trust. Brokerage services and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing. Some financial professionals registered with WEA IS are also registered with WEA Financial Advisors, Inc. For information regarding advisory services, please see the Client Relationship Summary for our affiliated RIA, WEA Financial Advisors, Inc.</p>
<p>Item 2: Relationship and Services</p>	<p>What investment services and advice can you provide me? We offer brokerage services to retail investors of proprietary 403(b) and IRA programs provided through our affiliates. WEA IS provides recommendations with respect to account type but does not provide recommendations with respect to your investment options. WEA IS does not buy or sell securities on behalf of your account(s); however, our registered representatives take orders to execute transactions on behalf of your account(s). WEA IS will refer you to WEA Financial Advisors, Inc. (WEA FA), for advice and/or recommendations regarding investments. While WEA IS remains available to assist you, WEA IS does not monitor your account(s). Our brokerage services are limited to specific groups, focused primarily on K–14 public educators and their families. A current description of eligible groups can be found on our website, www.weabenefits.com/family.</p> <p>We do not impose an account minimum at this time.</p> <p><i>For additional information, please see our Regulation Best Interest Disclosure.</i></p> <p>Questions to ask your Financial Professional:</p> <ul style="list-style-type: none"> • Given my financial situation, should I choose an investment advisory service? Why or why not? • How will you choose programs and/or investments offered to me? • What is your relevant experience, including your licenses, education, and other qualifications? • What do these qualifications mean?
<p>Item 3: Fees, Costs, Conflicts, and Standards of Conduct</p>	<p>What fees will I pay? WEA IS does not charge fees. The affiliated 403(b) and IRA programs have an annual administrative charge based on your account balance. For additional information about program costs, please visit https://www.weabenefits.com/product/403b/our-403b-fees/ or https://www.weabenefits.com/product/ira/our-ira-fees/.</p> <p>Other Fees and Costs You may also incur fund operating expenses. You will pay these operating expenses, whether you make or lose money on your investments. Operating expenses will reduce any amount of money you make on your investments over time. Please make sure you understand what operating expenses you are paying.</p> <p><i>For additional information, please see our Regulation Best Interest Disclosure.</i></p> <p>Questions to ask your Financial Professional:</p> <ul style="list-style-type: none"> • Help me understand how these fees and costs might affect my investments. • If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me? <hr/> <p>What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have? When we provide you with a recommendation, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the recommendations and investment advice we provide you. Here are some examples to help you understand what this means.</p> <p>The programs that we offer are primarily limited to proprietary programs offered by our affiliates such as the 403(b) and IRA programs. Our affiliates directly and indirectly compensate us for offering their</p>



	<p>programs. This creates a conflict of interest in that we are unable to offer other programs that may better suit your needs.</p> <p>Certain mutual fund companies give our affiliates record-keeping reimbursements based on the amount of funds placed with them. We therefore have an incentive to promote proprietary programs offered by our affiliates because our affiliates use record-keeping reimbursements to offset program fees and expenses, including investment professional salaries.</p> <p>Questions to ask your Financial Professional:</p> <ul style="list-style-type: none"> • How might your conflicts of interest affect me, and how will you address them? <p><i>For additional information, please see our Regulation Best Interest Disclosure.</i></p> <hr/> <p>How do your financial professionals make money?</p> <p>Our investment professionals are compensated with an annualized base salary and a non-individualized discretionary annual bonus based on the overall growth of our affiliate programs, including new business and retention. Our investment professionals do not earn commissions and are not compensated on a transaction basis for their activities at WEA IS. Certain professionals are dually registered with our affiliated Registered Investment Adviser; however, they do not earn compensation as a representative of the Registered Investment Adviser in relation to their activities at WEA IS.</p>
<p>Item 4: Disciplinary History</p>	<p>Do you or your financial professionals have legal or disciplinary history?</p> <p>No. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.</p> <p>Questions to ask your Financial Professional:</p> <ul style="list-style-type: none"> • As a financial professional, do you have any disciplinary history? For what type of conduct?
<p>Item 5: Additional Information</p>	<p>For additional information about our services, please visit www.weabenefits.com or contact our Compliance Coordinator at 1-800-279-4030 or retirement@weabenefits.com. If you would like additional, up-to-date information or a copy of this disclosure, please call 1-800-279-4030.</p> <p>Questions to ask your Financial Professional:</p> <ul style="list-style-type: none"> • Who is my primary contact person? • Is he or she a representative of an investment adviser or a broker-dealer? • Who can I talk to if I have concerns about how this person is treating me?