

Coverdell Education Savings Account 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 FUNDS®. The assets may be from another fund family or within the BARON FUNDS®. **Note:** If you are a new client (not transferring money into an already existing account) please fill out a BARON FUNDS® 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.BaronFunds.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 Funds® Coverdell Education Savings Custodial Account.

Invest the transferred amount as follows:

Name of Fund	Account Number (If already established)	Amount (\$ or % of Assets)
<input type="checkbox"/> Baron Asset Fund (585) BARAX	_____	_____
<input type="checkbox"/> Baron Discovery Fund (572) BDFFX	_____	_____
<input type="checkbox"/> Baron Durable Advantage Fund (5005) BDAFX	_____	_____
<input type="checkbox"/> Baron Emerging Markets Fund (575) BEXFX	_____	_____
<input type="checkbox"/> Baron Fifth Avenue Growth Fund (579) BFTHX	_____	_____
<input type="checkbox"/> Baron FinTech Fund (5008) BFINX	_____	_____
<input type="checkbox"/> Baron Focused Growth Fund (578) BFGFX	_____	_____
<input type="checkbox"/> Baron Global Advantage Fund (573) BGAFX	_____	_____
<input type="checkbox"/> Baron Growth Fund (587) BGRFX	_____	_____
<input type="checkbox"/> Baron Health Care Fund (5007) BHCFX	_____	_____
<input type="checkbox"/> Baron International Growth Fund (577) BIGFX	_____	_____
<input type="checkbox"/> Baron New Asia Fund (5009) BNAFX	_____	_____
<input type="checkbox"/> Baron Opportunity Fund (580) BIOPX	_____	_____
<input type="checkbox"/> Baron Partners Fund (586) BPTRX	_____	_____
<input type="checkbox"/> Baron Real Estate Fund (576) BREFX	_____	_____
<input type="checkbox"/> Baron Real Estate Income Fund (5006) BRIFX	_____	_____
<input type="checkbox"/> Baron Small Cap Fund (583) BSCFX	_____	_____
<input type="checkbox"/> Baron Technology Fund (5035) BTEEX	_____	_____
<input type="checkbox"/> 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 FUNDS® 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 Funds, P.O. Box 219946, Kansas City, MO 64121-9946. Or Overnight to: Baron Funds® c/o DST Systems, 430W. 7th Street, Kansas City, MO 64105-1514.

TRANSFER INSTRUCTIONS

- 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 FUNDS
P.O. BOX 219946, KANSAS CITY, MO 64121-9946

Overnight delivery:

BARON FUNDS
430 W. 7th STREET, KANSAS CITY, MO 64105-1514

6. Signature and Authorization – Required

The undersigned certifies that the undersigned has established a successor BARON FUNDS® 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.

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)

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 FUNDS® 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.