

Texas College Savings Plan®

Change of Trustee/Rollover Form



1 | Instructions

Print clearly in all **CAPITAL LETTERS** using **blue or black ink**.

When requested, please color in circles completely. For example: not not

Please use this form for the following:

- Rollover assets from another Section 529 Plan, Coverdell Education Savings Account, or Qualified Savings Bond
- Transfer assets from another Texas 529 Plan

If you have any questions, please call us at **1.800.445.GRAD (4723), option #3**, Monday through Friday from 8am to 6pm Central Time.

Please mail the completed form with any required documents to the following address:

**The Texas College Savings Plan
c/o NorthStar Financial Services Group, LLC
P.O. Box 540010
Omaha, NE 68154**

2 | Texas College Savings Plan Account Information

If you have not established an account, you must also either enroll online at www.texascollegesavings.com and obtain an account number or complete and enclose an Enrollment Application with this form, which you can download from the site.

Special note should be taken when selecting a new Designated Beneficiary as multiple rollovers for a beneficiary within a 12-month period or the designation of a beneficiary who is not a Qualified Family Member may result in additional taxes or penalties. See the Plan Description and Savings Trust Agreement for potential tax consequences and other considerations, and consult your tax advisor.

Texas College Savings Plan account number

Social Security or Taxpayer ID number

Account Owner's first name

Middle initial

Last name

Street address (no P.O. Boxes)

City

State

Zip

Phone number

Account Owner's email address

Beneficiary's first name

Middle initial

Last name

Beneficiary's Social Security number

Beneficiary's date of birth

Is the beneficiary named above different than the beneficiary on the Section 529 Plan College Savings Account that you are rolling over or transferring?

- Yes
 No

A. Indicate the source of your Rollover/Transfer (check one):

- Section 529 College Savings plan outside of Texas
- Texas-sponsored 529 plan (allowed once per calendar year)
- Coverdell Education Savings Account
- Qualified Savings Bonds

B. Indicate whether this is an Indirect Rollover or a Direct Rollover request (Check one and complete additional information as requested for a Direct Rollover. Note that a Direct Rollover is only permissible for assets held in the LoneStar 529 PlanSM, the Texas Tuition Promise FundSM or another Section 529 College Savings plan account.)

- Indirect Rollover: I am enclosing a check representing the rollover proceeds.
- Direct Rollover: I am requesting and instructing Texas College Savings Plan to act on my behalf to obtain funds directly from the trustee of my current Section 529 College Saving Program Account. For a Direct Rollover, please fill in the information requested below, and include a copy of your current account statement. Your current Plan Manager may require additional information.

Name of Current Program Manager	Account number	
Street address or P.O. Box number		
City	State	Zip
Program phone number	State Sponsor (if applicable)	

- Full Account
- Partial Account (select one of the following)
 - Dollar amount \$ _____ or
 - Percentage _____ %

C. Attach a statement from your current account provider that indicates which portion of the Rollover or Transfer is attributable to contributions (cost basis), and which is attributable to earnings. Otherwise, your entire Rollover or Transfer is required to be treated as earnings, which may be taxable upon withdrawal. For further details, please call your current Plan Manager.

\$ _____ Total Amount of Rollover/Transfer

\$ _____ Base Contribution or Cost Basis of Rollover/Transfer

\$ _____ Earnings Portion of Rollover/Transfer

D. Please indicate below whether you would like to allocate these funds differently from the way you did in the Elected Investment Allocation on your Enrollment Application for the Texas College Savings Plan. Please note this will only affect your rollover dollars.

I. Age Based Portfolios

Blended Age Based Portfolio _____ %

Index Age Based Portfolio _____ %

II. Blended Static Portfolios

100% Equity Portfolio _____ %

Balanced Portfolio _____ %

III. Index Static Portfolios

100% Equity Portfolio _____ %

Balanced Portfolio _____ %

IV. Individual Fund Portfolios

Fixed Income Portfolio _____ %

Inflation-Protected Bond Portfolio _____ %

U.S. Government Money Market Portfolio* _____ %

Total _____ 100 %

I authorize NorthStar Financial Services Group, LLC, including its subsidiaries and affiliates, to act on my behalf in contacting the current 529 Plan Program Manager to facilitate the transfer of assets. I hereby certify that (1) the information provided herein is accurate, (2) the Designated Beneficiary on the Texas College Savings Plan Account is a “member of the family” of the Designated Beneficiary in the current program (as defined in the Plan Description and Savings Trust Agreement) or this Rollover does not change the Beneficiary, and is the only Rollover for the Beneficiary within the past 12 months, and if applicable, (3) my contribution of rollover proceeds from another account is within 60 days of receiving the refund. I understand that if I fail to provide the required information mentioned in Section 3C, the entire amount of the rollover contribution will be treated as earnings that may be taxable upon withdrawal.

Signature of Account Owner, Custodian, Trustee, Partner or Officer

Date

Signature of Co-Trustee, Partner or Officer

Date

Signature Guarantee (Call your current Plan Manager to determine if a signature guarantee is required.)—A Signature Guarantee may be obtained from any eligible guarantor institution, as defined by the Securities and Exchange Commission. These institutions include banks, savings associations, credit unions and brokerage firms. The words “SIGNATURE GUARANTEED” must be stamped or typed near the signature(s) being guaranteed. The guarantee must appear with the printed name, title and signature of an officer, and the name of the guarantor institution. **A NOTARY PUBLIC STAMP OR SEAL IS NOT ACCEPTABLE.**

Affix medallion stamp here



Guarantee’s name (if required)

Middle initial

Last name

Title

Signature Guarantee

Date

Before you mail, have you

- Completed a Texas College Savings Plan Enrollment Application, if you are opening a new account
- Included documents from your current Plan Manager, if required
- Written a check payable to “Texas College Savings Plan” for an Indirect Rollover
- Signed, and obtained a Signature Guarantee, if needed, for Section 4

The Plan Manager of the Texas College Savings Plan will complete this acceptance agreement.

As Plan Manager of the Texas College Savings Plan, we will accept the rollover/transfer requested.

Authorized Plan Manager's signature

Date

Please make a copy of this form for your own records.

This material is provided for general and educational purposes only, and is not intended to provide legal, tax nor investment advice, or for use to avoid penalties that may be imposed under U.S. federal tax laws. Contact your attorney or other advisor regarding your specific legal, investment or tax situation.

The Texas College Savings Plan® is established and maintained by the Texas Prepaid Higher Education Tuition Board. NorthStar Financial Services Group, LLC ("NorthStar") is the plan manager and the Plan is distributed by NorthStar affiliate Northern Lights Distributors, LLC and administered by NorthStar affiliate Gemini Fund Services, LLC. Non-residents of Texas should consider whether their home state, or the beneficiary's home state, offers its residents any state tax or other state benefits, such as financial aid, scholarship funds, and protection from creditors that are only available for participants in that state's 529 plan. Interests in the Plan are not deposits or other obligations of any depository institution.

No part of an account, the principal invested, nor any investment return is insured or guaranteed by the FDIC, the state of Texas, the Texas Prepaid Higher Education Tuition Board, any other state or federal governmental agency or NorthStar or its subsidiaries or affiliates. An account might not make money and could lose money (including the principal invested) if money is invested in the Plan. Interests in the Plan have not been registered with the U.S. Securities and Exchange Commission or with any state.

Before investing in the Plan, investors should carefully consider the investment objectives, risks, administrative fees, service and other charges and expenses associated with municipal fund securities. The [Plan Description and Savings Trust Agreement](#) contain this and other information about the Plan, and may be obtained by visiting www.texascollegesavings.com or calling 1.800.445.GRAD (4723), option #3. Investors should read these documents carefully before investing.

*You could lose money by investing in this investment option. Although the money market fund in which your investment option invests (the "underlying fund") seeks to preserve its value at \$1.00 per share, the underlying fund cannot guarantee it will do so. An investment in this investment option is not insured or guaranteed by the Federal Deposit Insurance Corporation or any other government agency. The underlying fund's sponsor has no legal obligation to provide financial support to the underlying fund, and you should not expect that the sponsor will provide financial support to the underlying fund at any time.

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