

## UGMA/UTMA Form

## | 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:**

- To establish Uniform Gifts to Minors Act (UGMA) and Uniform Transfer to Minors Act (UTMA) Account. Please read the Plan Description and Savings Trust Agreement prior to investing for additional information.
- Along with the Enrollment Application, to establish a Texas College Savings Plan® account.

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**

## 1 | Custodian Information

The Custodian must be a U.S. citizen or resident alien, and must have a valid Social Security Number or Taxpayer Identification Number. The Custodian cannot be a minor.

Name of Custodian (first, middle, last including suffix)

Social Security number

Date of birth (mm/dd/yyyy)

Relationship to Minor

☐ Male

☐ Female

Street address (No P.O. Boxes)

City

State

Zip

Daytime telephone number

## 2 | Custodian Acknowledgement

**Please review and fill in  
circles for all items in  
this section.**

As Account owner of the this Texas College Savings Plan Account, I understand and acknowledge that the following will apply:

- ☐ Any and all payments to this Texas College Savings Plan account will be considered UGMA/UTMA funds (custodial funds) and become an asset of the Beneficiary.
- ☐ If I desire to purchase units that are not UGMA/UTMA purchases for my Texas College Savings Plan account, a separate Texas College Savings Plan Account must be established for such purchases.

## 2 | Custodian Acknowledgement *(continued)*

Please review and fill in circles for all items in this section.

- ☐ I understand that as Custodian of a UGMA/UTMA account:
  - ☐ I am not the owner of the account, rather I hold the account as Custodian for the Beneficiary.
  - ☐ I may not change the Designated Beneficiary.
  - ☐ If I cancel the account, I personally will not receive a refund. Rather, a refund will be issued to the Beneficiary in order to comply with the intent of the UGMA/UTMA's creation and provide for proper taxation of any earnings.
  - ☐ It is my responsibility to refrain from exercising certain rights under the Texas College Savings Plan account in order to maintain the UGMA/UTMA qualified status.
  - ☐ It is my responsibility to notify the program when the custodianship terminates (the minor reaches the age of majority) at which time the Beneficiary becomes the account owner.
  - ☐ At the age of majority, the Beneficiary will become the account owner and will have all of the rights of the account even if I fail to notify the Plan of custodianship termination.
- ☐ Maintaining UGMA/UTMA status of the Texas College Savings Plan account is my responsibility as the Custodian of the account, and I hereby release the Texas College Savings Plan from any liability for any loss of UGMA/UTMA qualified status due to the purchase, servicing, cancellation or exercise of the rights under the Texas College Savings Plan.
- ☐ Every situation is unique and the Texas College Savings Plan does not give tax advice, nor does the Texas College Savings Plan endorse the use of UGMA/UTMA assets to fund a Texas College Savings Plan Account.
- ☐ I understand and acknowledge that the Texas College Savings Plan highly recommends that I speak to a professional tax advisor before liquidating and/or investing in a Texas College Savings Plan UGMA/UTMA account.

## 3 | Minor Information

The minor is the beneficiary and must be a U.S. citizen or resident alien, and must have a valid Social Security Number or Taxpayer Identification Number.

\_\_\_\_\_  
Name (first, middle initial, last)

\_\_\_\_\_  
Social Security number

\_\_\_\_\_  
Date of birth (mm/dd/yyyy)

☐ Male      ☐ Female

\_\_\_\_\_  
Street address (No P.O. Boxes)

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip

I certify that the information I have provided is true, complete, and correct. I have read and understood all of the above statements and agree to comply with them. I have received, read, and agreed to the terms set forth in the Plan Description and Savings Trust Agreement.

\_\_\_\_\_  
Signature of Custodian

\_\_\_\_\_  
Date (mm/dd/yyyy)

This material is provided for general and educational purposes only and is not intended to provide legal, tax or 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 and distributed by Northern Lights Distributors, LLC, Member FINRA/SIPC. NorthStar Financial Services Group, LLC, the parent company of Northern Lights Distributors, LLC, is the Plan manager and administrator of the Plan.

As stated in the current Plan Description and Savings Trust Agreement, total Plan fees for the portfolios range from 0.60% to 1.00%, including six index age-based portfolios ranging from 0.60% to 0.62%. Fees are subject to change.

Some states offer favorable tax treatment to their residents only if they invest in the state's own plan. Non-residents of Texas should consider whether their state offers its residents a 529 plan with alternative tax advantages and should consult their tax advisor. 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 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 contains this and other information about the Plan and may be obtained by visiting [www.texascollegesavings.com](http://www.texascollegesavings.com) or calling 1.800.445.GRAD (4723), Option #3. Investors should read these documents carefully before investing.**

Comments or complaints may be forwarded to the Prepaid Higher Education Tuition Program, Office of the Comptroller of Public Accounts, at P.O. Box 13407, Austin, Texas 78711-3407 or at 1.512.936.2064.

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