



Change of Trustee/Rollover Form

1 | Instructions

Type the information below or 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 to:

- Roll over assets from another state's Section 529 College Savings 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 **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:

Texas College Savings Plan
P.O. Box 405010
Cincinnati, OH 45240

Or Fax to: 402-431-4452

2 | Texas College Savings Plan Account Information

If you have not established an account, you must either enroll online at

TexasCollegeSavings.com and obtain an account number or complete and enclose an Enrollment Application with this form, which you can download from the site.

 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

 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 current plan account from which you are rolling over or transferring funds?

- ☐ Yes
- ☐ No

Special note should be taken when selecting a beneficiary as multiple Rollovers or Transfers within a certain timeframe for the same beneficiary, or the designation of a beneficiary who is not a "Member of the Family," 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.

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

- ☐ Section 529 College Savings Plan outside of Texas
- ☐ Coverdell Education Savings Account
- ☐ Qualified Savings Bonds
- ☐ Texas 529 Plan

B. Indicate whether this is an Indirect Rollover or a Direct Rollover request (Check one. Note that a Direct Rollover is only permissible for assets held in the LoneStar 529 Plan®, the Texas Tuition Promise Fund® or another Section 529 College Savings Plan account.)

- ☐ **Indirect Rollover:** I am enclosing a check representing the Rollover or Transfer proceeds.
- ☐ **Direct Rollover:** I am requesting and instructing the Texas College Savings Plan to act on my behalf to obtain funds directly from the trustee of my current Section 529 College Savings Plan account.

For a Direct Rollover, please fill in the information requested below for the current Plan Manager, and include a copy of your current account statement. Your current Plan Manager may require additional information.

Name of Current Plan Manager

Account Number

Street Address or P.O. Box Number

City

State

Zip

Plan 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 Plan Manager 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 or Transfer

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

\$ _____ Earnings Portion of Rollover or Transfer

D. Please indicate below whether you would like to allocate these funds differently from the way you did in the Portfolio Selection on your Enrollment Application for the Texas College Savings Plan. Please note this will only affect your Rollover or Transfer dollars.

Portfolio Option	Allocation
I. Age-Based Portfolios	
Age-based Portfolio	%
II. Risk-Based Portfolios	
Aggressive Allocation Portfolio	%
Balanced Allocation Portfolio	%
Conservative Allocation Portfolio	%
III. Individual Asset Class Portfolios	
Diversified Equity Portfolio	%
Diversified Fixed Income Portfolio	%
U.S. Stock Portfolio	%
Short-Term Fixed Income Portfolio	%
International Stock Portfolio	%
U.S. Bond Portfolio	%
Inflation Protection Portfolio	%
Capital Preservation Portfolio	%
Total	100%

I authorize the Texas College Savings Plan to act on my behalf in contacting the current Plan Manager to facilitate the rollover or transfer of assets. I hereby certify that (1) the information provided herein is accurate, (2) the beneficiary of the Texas College Savings Plan account is a “Member of the Family” of the beneficiary in the current Plan (as defined in the Plan Description and Savings Trust Agreement) or this Rollover or Transfer does not change the beneficiary and I have read the Plan Description and Savings Trust Agreement regarding Rollovers and Transfers for the same beneficiary, and if applicable, (3) my contribution of Rollover or Transfer proceeds from another Section 529 College Savings Plan 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 or Transfer contribution will be treated as earnings that may be taxable upon withdrawal.

x_____
Signature of Account Owner, Custodian, Trustee, Partner or Officer_____
Date**x**_____
Signature of Co-Trustee, Partner or Officer_____
Date

Signature Guarantee (Contact 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

Guarantor’s First Name, Middle Initial, Last Name_____
Title_____
Name of the Guarantor Institution**x**_____
Signature Guarantor_____
Date

Before you mail, have you

- ☐ Enrolled online at TexasCollegeSavings.com or completed and enclosed 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 the “Texas College Savings Plan” for an Indirect Rollover
- ☐ Signed, and if required by your current Plan Manager, obtained a Signature Guarantee in 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 or Transfer requested.

x

Authorized Plan Manager's Signature

Date

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

The Texas College Savings Plan® ("Plan") is administered by the Texas Prepaid Higher Education Tuition Board ("Board"). Orion Advisor Solutions, Inc. ("Orion") is the manager of the Plan, which is distributed by Northern Lights Distributors, LLC and maintained by Ultimus Fund Solutions, LLC, neither of which are affiliated with Orion. The Plan and the Board do not provide legal, financial, or tax advice and you should consult a legal, financial, or tax advisor before participating.

Non-residents of Texas should consider whether their home state, or the beneficiary's home state, offers its residents any 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 plan.

Estimated total asset-based fees are available on the Allocation Worksheet at TexasCollegeSavings.com/Allocation-Worksheet and are published in the Plan Description and Savings Trust Agreement, which is reviewed annually. Fees are subject to change.

An account could lose money including the principal invested. No part of an account is a deposit or obligation of, or is guaranteed or insured by, the Board, the state of Texas, or any agency or agent thereof. Interests in the Plan have not been registered with or approved by the SEC or any state. Investors should carefully consider the investment objectives, risks, fees, charges, and expenses associated with municipal fund securities. The Board may suspend, modify, or terminate the Plan or change investment approaches, offerings, and/or underlying investment funds at any time and without the consent of account owners or beneficiaries. The Plan Description and Savings Trust Agreement contain this and other important information about the Plan and may be obtained by visiting TexasCollegeSavings.com or calling 800-445-GRAD (4723), option 3. Investors should read the Plan Description and Savings Trust Agreement, and all other Plan documents carefully before investing.

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