

# 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 **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  
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](http://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 twice 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. 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 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, 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 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.

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

I authorize the Plan, to act on my behalf in contacting the current 529 Plan 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 Plan (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.

**x** \_\_\_\_\_  
 Signature of Account Owner, Custodian, Trustee, Partner or Officer Date

**x** \_\_\_\_\_  
 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

\_\_\_\_\_  
**x**  
 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.

**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. is the plan manager. The Plan and the Board do not provide legal, financial, or tax advice and participants in the Plan should consult a legal, financial, or tax advisor before investing. Fees and charges for the most recent quarter are available on our website at: [www.texascollegesavings.com/expenses](http://www.texascollegesavings.com/expenses).

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.

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 [www.texascollegesavings.com](http://www.texascollegesavings.com) or calling 800-445-GRAD (4723), option #3. Investors should read all Plan documents carefully before investing.

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