

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

Please note:

Registrations must match from the current 529/ESA firm's account to this LoneStar 529 Plan account. For example, trust to trust, or UTMA to UTMA. The primary owner of the current 529 account must be the primary owner on this account.

If you have any questions, please call us at
800-445-GRAD (4723), option #4,
Monday through Friday from 8am to 6pm
Central Time.

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

LoneStar 529 Plan
P.O. Box 405010
Cincinnati, OH 45240

or Fax to: **402-431-4452**

2 | LONESTAR 529 PLAN ACCOUNT INFORMATION

If you have not established an account, please see your financial advisor or visit us at **www.lonestar529.com** to obtain the enrollment application that must be completed by you and your financial advisor.

Special note should be taken when selecting a new 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 federal income tax as well as an additional federal tax of 10%. See the Plan Description and Savings Trust Agreement for potential tax consequences and other considerations, and consult your tax advisor.

LoneStar 529 Account number

Account Owner's 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 account listed in Section 3?

☐ Yes

☐ No

A. Indicate the source of your Rollover/Transfer (check one). Rollovers from any Section 529 College Savings Plan will be processed at Net Asset Value (NAV):

- ☐ 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 only one. Note that a Direct Rollover is only permissible for assets held in the Texas College Savings 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 LoneStar 529 Plan to act on my behalf to obtain funds directly from the trustee of my current Section 529 College Savings Plan Account or Education Savings Account (ESA).

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

A. 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 LoneStar 529 Plan. Please note this will only affect your rollover dollars.

Target Enrollment Year Options: The asset allocation between equities, bonds, and cash automatically adjusts each year as the enrollment year approaches. Please select a portfolio that closely approximates the year when funds will start to be drawn. Typically, families assume their child will need their education savings at age 18. Once you've estimated when you expect your child will need to use their savings, select the target date portfolio that represents the date closest to your estimated date of enrollment. For example, if your child was born in 2023 and you anticipate they will begin college at 18 years of age, they may need their college savings in the year 2041 (2023 plus 18). This means you would select the 2040-2041 Target Enrollment Year Portfolio. If there is no corresponding portfolio, select the one closest to the enrollment year of the child.

Risk-based Options: The assets will remain in your selected portfolio(s) until you update your Investment Election.

Individual Asset Class Options: The assets will remain in your selected portfolio(s) until you update your Investment Election.

B. The LoneStar 529 Plan will assume that you have already used the two allowed investment changes, unless the following is completed. Please indicate below how many investment changes you have had in the current calendar year.

- ☐ 0
- ☐ 1
- ☐ 2

Investment Options

Allocation

I. Target Enrollment Year Options	
2042-2043 Portfolio	%
2040-2041 Portfolio	%
2038-2039 Portfolio	%
2036-2037 Portfolio	%
2034-2035 Portfolio	%
2032-2033 Portfolio	%
2030-2031 Portfolio	%
2028-2029 Portfolio	%
2026-2027 Portfolio	%
Enrolled Years Portfolio	%

II. Risk-based Options	
Aggressive Allocation Portfolio	%
Balanced Allocation Portfolio	%
Conservative Allocation Portfolio	%

III. Individual Asset Class Options	
Diversified Equity Portfolio	%
Diversified Fixed Income Portfolio	%
U.S. Value Portfolio	%
U.S. Growth Portfolio	%
U.S. Total Stock Market Portfolio	%
Small-Cap Portfolio	%
Active International Portfolio	%
Passive International Portfolio	%
Emerging Markets Portfolio	%
Long-Term Fixed Income Portfolio	%
Active Bond Portfolio	%
Passive Bond Portfolio	%
High Yield Fixed Income Portfolio	%
International Fixed Income Portfolio	%
Inflation Protection Portfolio	%
Short-Term Fixed Income Portfolio	%
Socially Responsible Portfolio	%
Commodity Portfolio	%
Real Estate Portfolio	%
Capital Preservation Portfolio	%
Total of all Investment Options must equal 100%	100%

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 Beneficiary on the LoneStar 529 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 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 the date of 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, Co-Partner or Co-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

Guarantor's name (if required)

Middle initial

Last name

Title

Guarantor's signature

Date

Before you mail, have you

- ☐ Completed a LoneStar 529 Plan Enrollment Application, if you are opening a new account
- ☐ Included documents from your current Plan Manager, if required
- ☐ Written a check payable to “LoneStar 529 Plan” for an Indirect Rollover
- ☐ Signed, and obtained a Signature Guarantee, if needed, for Section 5

The Plan Manager of the LoneStar 529 Plan will complete this acceptance agreement.

As Plan Manager of the LoneStar 529 Plan, we will accept the transfer referenced in Section 3. If there are any questions or if the transfer cannot be processed, please contact our office at 1-800-445-4723, Option 4.

x

Signature of Authorized Representative of the LoneStar 529 Plan

Date

Please make the check payable to:

LoneStar 529 Plan

FBO (For Benefit Of)

Account #

Please mail the check to:

**LoneStar 529 Plan
P.O. Box 405010
Cincinnati, OH 45240**

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

The LoneStar 529 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 [LoneStar529.com/Allocation-Worksheet](https://lonestar529.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 [LoneStar529.com](https://lonestar529.com) or calling 800-445-GRAD (4723), option 4. Investors should read the Plan Description and Savings Trust Agreement, and all other Plan documents carefully before investing.