

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 #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
c/o NorthStar Financial Services Group, LLC
P.O. Box 540010
Omaha, NE 68154**

or Fax: 1.402.431.4452

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.

LoneStar 529 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

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.

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):

- 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 and complete additional information as requested for a Direct Rollover.)

- 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 Program Account or ESA. For a Direct Rollover, please fill in the information requested below, and include a copy of your current account statement. Your current Program 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 LoneStar 529 Plan. Please note this will only affect your rollover dollars.

I. Age Based Portfolios

Age Based Portfolio _____ %

II. Static Portfolios

100% Equity Portfolio _____ %

Balanced Portfolio _____ %

III. Individual Fund Portfolios

Large Cap Growth Portfolio _____ %

Large Cap Value Portfolio _____ %

All Cap Active Portfolio _____ %

Large Cap Passive Portfolio _____ %

Socially Responsible Portfolio _____ %

Small Cap Portfolio _____ %

Non-U.S. Equity Portfolio _____ %

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 (NorthStar), 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 LoneStar 529 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 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.

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 LoneStar 529 Plan Enrollment Application, if you are opening a new account
- Included documents from your current Program 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 4

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

The LoneStar 529 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 0.66% to 2.48% with a maximum sales charge of 5.75% and 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 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.

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.

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.lonestar529.com or calling 1.800.445.GRAD (4723), Option #4. 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.

"LoneStar 529 Plan" is a registered service mark of the Texas Prepaid Higher Education Tuition Board.
All rights reserved.

The LoneStar 529 Plan is distributed by Northern Lights Distributors, LLC Member FINRA, SIPC
17605 Wright Street, Omaha, NE 68130
©Copyright 2016 NorthStar Financial Services Group, LLC. All rights reserved.

LS-005 December 21, 2017 5970-NLD-12/21/2017

LONESTAR
529 PLANSM