



A. Indicate the source of your Rollover / Transfer.

- Another Texas Sponsored 529 Plan (allowed once every 12 months).
- Another state's Section 529 College Savings Plan.
- Coverdell Education Savings Account
- Qualified Savings Bonds

B. Indicate whether this is an Indirect Rollover or a Direct Rollover Request (check one):

- Indirect Rollover: I am enclosing a check representing the Rollover proceeds.  
**Indirect rollover funds must be redeposited into a Texas Tuition Promise Fund account within 60 days of withdrawing them from your current plan.**
- Direct Rollover: I am requesting and instructing the Texas Tuition Promise Fund to act on my behalf to obtain funds directly from the trustee of my current Section 529 College Savings Program Account listed in Section II of this document.
  - Full Account Transfer
  - Partial Account Transfer - does not apply to prepaid products
    - Dollar Amount \$\_\_\_\_\_
    - Percentage \_\_\_\_\_%

C. Attach a statement from your current account provider that states the portion of the Transfer or Rollover attributable to contributions (basis) and earnings, otherwise your entire Rollover or Transfer is required to be treated as a distribution that may be taxable upon withdrawal.

\$ \_\_\_\_\_  
Estimated Base Contribution or Cost Basis of Rollover/Transfer

\$ \_\_\_\_\_  
Estimated Earnings Portion of Rollover/Transfer

## Section IV. | Account Agreement and Signature

*Many plan administrators require a Signature Guarantee. To prevent delay, contact your current plan administrator to determine if a Signature Guarantee is required.*

I authorize the Texas Tuition Promise Fund to act on my behalf in contacting the current 529 Plan administrator to facilitate the transfer of assets. I hereby certify that (1) the information provided herein is accurate, (2) the Designated Beneficiary on the Texas Tuition Promise Fund account is a "Member of the Family" of the Designated Beneficiary in the current program (as defined in the Plan Description), or (3) this Rollover does not change the Beneficiary, and is the only Rollover for the Beneficiary within the past 12 months, and, if applicable, (4) my contributions listed in Section III of this document will have been made within 60 days of the withdrawal from another Plan described in Section III.

I understand that if I fail to provide the required information mentioned in Section III of this document, the entire amount of the rollover contribution will be treated as a distribution that may be subject to tax liability upon withdrawal.

\_\_\_\_\_  
Signature of Purchaser

\_\_\_\_\_  
Date

**Signature Guarantee**—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 First Name, Middle Initial, Last Name (if required)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature Guarantee

\_\_\_\_\_  
Date

### Before you mail, have you:

- Completed a Texas Tuition Promise Fund Account Application if you are opening a new account
- Included documents from your current Plan administrator, if required
- Signed this Rollover Form in Section IV
- Written a check payable to the Texas Tuition Promise Fund for indirect rollover

The Texas Tuition Promise Fund<sup>SM</sup> is established and maintained by the Texas Prepaid Higher Education Tuition Board. NorthStar Financial Services Group, LLC ("NorthStar") is the plan manager and the Texas Tuition Promise Fund is distributed by NorthStar affiliate Northern Lights Distributors, LLC and administered by NorthStar affiliate Gemini Fund Services, LLC. Some states offer favorable tax treatment to their residents only if they participate 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. The Contracts are not deposits or other obligations of any depository institution. Neither a Contract nor any return paid with a refund 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 subsidiaries or affiliates. The Contracts have not been registered with the U.S. Securities and Exchange Commission or with any state.

**Purchasers should carefully consider the risks, administrative fees, service and other charges and expenses associated with the Contracts, including plan termination and decreased refund or transfer value. The Plan Description and Master Agreement contain this and other information about the Plan, and may be obtained by visiting [www.texastuitionpromisefund.com](http://www.texastuitionpromisefund.com) or calling 1.800.445.GRAD (4723), option #5. Purchasers should read these documents carefully before purchasing a Contract.**

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 by calling 1-512-936-2064.

"Texas Tuition Promise Fund" is a registered mark of the Texas Prepaid Higher Education Tuition Board. All rights reserved. The Texas Tuition Promise Fund is distributed by Northern Lights Distributors, LLC. Member FINRA, SIPC  
17605 Wright Street, Omaha, NE 68130

©2014 NorthStar Financial Services Group, LLC. All rights reserved.

TTPF-001 September 1, 2014