

## Instructions for requesting a “Plan-to-Plan” Transfer to Fidelity

Movement of account assets between Emory’s vendors is known as a vendor/contract exchange or plan-to-plan transfer. The following will assist with initiating a transfer of your accounts.

### TRANSFER BALANCES FROM VANGUARD

Step 1: Contact Fidelity to obtain the **Fidelity Transfer/Rollover/Exchange Form**, or find it on [www.hr.emory.edu/403bchanges](http://www.hr.emory.edu/403bchanges).

Step 2: Complete Fidelity form and return to Fidelity. Emory authorization is **not** required for a plan-to-plan transfer.

### TRANSFER BALANCES FROM TIAA

Step 1: Contact Fidelity to obtain the **Fidelity Transfer/Rollover/Exchange Form**, or find it on [www.hr.emory.edu/403bchanges](http://www.hr.emory.edu/403bchanges).

Step 2: Contact TIAA at 800-842-2252 to obtain a **Direct Transfer Form**.

*Please note: the TIAA Traditional Account contract has liquidation restrictions. You may initiate a transfer of this balance in annual installments (10 payments over 9 years) by completing the **TIAA Transfer Payout Annuity Form**. You must complete both the Direct Transfer Form and the TIAA Transfer Payout Annuity Form if you are transferring the TIAA Traditional Account.*

Step 3: Complete both Fidelity and TIAA form(s) and mail all forms to Fidelity. Emory authorization is **not** required for a plan-to-plan transfer.

### What happens next?

1. Fidelity will mail all forms to TIAA/Vanguard with a signed Letter of Acceptance. (A letter of acceptance tells the other vendor Fidelity has verified that the participant has an account on record and we can and will accept the vendor/contract exchange.)
2. TIAA/Vanguard will take a few days to process form(s) and mail a check to Fidelity.
3. Fidelity processes the check into your account and provides a confirmation when complete.

### Remember to:

- change your payroll deductions to **redirect future contributions** to Fidelity
- Update **beneficiary designations**

## Additional information needed to complete the Fidelity Transfer/Rollover/Exchange form

*Important: Complete a separate Fidelity form for each investment provider and read the instructions carefully*

**Please include the following information:**

**SECTION 1: YOUR INFORMATION** Provide your information.

### SECTION 2: INVESTMENT PROVIDER YOU ARE MOVING MONEY FROM

INVESTMENT PROVIDER	VANGUARD	TIAA
ADDRESS	P.O. BOX 1110 Valley Forge, PA 19482	8500 Andrew Carnegie Charlotte, NC 28262
PHONE	800-523-1188	800-842-2252

### SECTION 3: ACCOUNT(S) OR CONTRACT(S) TO MOVE

#### 1. Account/Contract :

- For Vanguard: Emory Healthcare: Use 094040; Emory University: Use 091326 with SSN
- For TIAA: include the contract number(s) from your TIAA statement. This should include both the TIAA # and the CREF #, which are both on the TIAA statement.

**Type:** Select “403(b)” and/or “Include Roth 403(b) balance” (If you want both 403b pre-tax and 403b Roth money to transfer, select both 403b and Include Roth 403b balance boxes.)

2. **Check:** “The Same Employer as My Employer Plan with Fidelity”
3. **Liquidation amount:** Select one

#### SECTION 4: YOUR FIDELITY ACCOUNT INFORMATION

**Employer sponsoring the account:** Emory

**Plan Type:** 403(b)

**Plan Number:** Emory Healthcare: 73136; Emory University: 89456

#### SECTION 5: INVESTMENT INSTRUCTIONS

Indicate how you would like the funds to be invested at Fidelity. Make sure to select funds from the new investment lineup at Fidelity. Keep in mind, in April 2020, all account balances will transfer to the new investment lineup according to the mapping strategy. For additional information, visit [www.hr.emory.edu/403bchanges](http://www.hr.emory.edu/403bchanges).

- If you select “Yes”, your account balance transferred will be invested according to your current investment election for future contributions on file at Fidelity.
- If you select “No” and no investment options are selected, your investment instructions are incomplete or invalid, or the percentages listed are less than or exceed 100%, your entire account balance transferred will be defaulted to your current investment elections on file with Fidelity. If you have no investment elections on file at Fidelity, your entire account balance transferred will be defaulted to the Plan’s default investment option (an age based Target Date Fund).

**SECTION 6: EMPLOYER PLAN ACCEPTANCE:** Emory authorization is **not** required for a plan-to-plan transfer.

**SECTION 7: SIGNATURE AND DATE:** Please sign and date the form.

*Need help? Contact Fidelity at 800-343-0860 or go to [NetBenefits.com/atwork](http://NetBenefits.com/atwork).*

**Be sure to consider all your available options and the applicable fees and features of each before moving your retirement assets.**

**Fidelity Investments Institutional Operations Company, Inc. 245 Summer Street, Boston, MA 02210 912892.1.0**