

# Application for Transfer to the Baylor University Retirement Income Plan



## 1. PARTICIPANT INFORMATION

Participant name: \_\_\_\_\_ Social Security number (last four digits): \_\_\_\_\_

Home address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP code: \_\_\_\_\_

Daytime telephone: (\_\_\_\_\_) \_\_\_\_\_ Birth date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## 2. AMOUNTS TO BE TRANSFERRED

A. Transferring 403(b) issuer name: \_\_\_\_\_

B. Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP code: \_\_\_\_\_

C. Transferring annuity contract or retirement income account number: \_\_\_\_\_

D. Total amount to be transferred: \$ \_\_\_\_\_

E. From employer: \_\_\_\_\_

- Code Section 403(b)(1) annuity contract  
 Code Section 403(b)(9) retirement income account

## 3. PLAN INVESTMENT INFORMATION

Your transfer will be placed in the current plan investment election on file. If you do not have an election on file, 100% of the transfer will be placed in the appropriate MyDestination Fund® until you change the election.

Participants are prohibited from exchanging out of the Capital Preservation Fund to a "competing fund" without first investing in a "non-competing fund" for a period of at least 90 days. Also, simultaneous exchanges are not allowed. For more complete information, visit [GuideStone.org](http://GuideStone.org) or call **1-888-98-GUIDE** (1-888-984-8433).

## 4. PARTICIPANT CERTIFICATION AND AUTHORIZATION TO EXCHANGE OR TRANSFER FUNDS

I request that the amount indicated above in Section 2 is to be transferred to the Baylor University Retirement Income Plan (the Plan) maintained by Baylor University (the University). GuideStone Financial Resources® (the Trustee) is the trustee of the Plan.

I understand it is my responsibility to request the transfer from the 403(b) issuer and to arrange to have the funds moved to the Plan. The transferring 403(b) issuer is directed to transfer the amounts listed in Section 2 to the Plan. This transfer is intended to qualify as a tax-free direct transfer between Code Section 403(b) annuity contracts or accounts and is made pursuant to Code Section 403(b). The transferring 403(b) issuer is directed to make the transferred amount payable to GuideStone Financial Resources, Trustee for my benefit and to forward the proceeds to: Finance and Accounting, GuideStone Financial Resources, 5005 LBJ Freeway, Ste. 2200, Dallas, TX 75244-6152 or to the Plan Administrative Committee, c/o Personnel Office, Baylor University, P.O. Box 97052, Waco, TX 76798-7052.

I certify that none of the funds being transferred is subject to Qualified Joint Survivor Annuity (QJSA) and/or Qualified Pre-retirement Survivor Annuity (QPSA) rules.

The University, the Plan Administrative Committee and the Trustee are released from any responsibility or liability regarding the accuracy of such representations or any tax consequences resulting from the exchange or transfer of these funds.

Participant signature: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

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**5. ACCOUNTING DETAIL INFORMATION (TO BE COMPLETED BY TRANSFERRING 403(b) ISSUER)**

The portion of the money that applies to each of the following types of contributions is indicated below to the extent the information is available: (Failure to complete the information requested may subject the amounts to more restrictive rules than those imposed prior to the move.)

| Type of Contribution                        | Original Contribution<br>Amounts | Amount Surrendered |
|---|----------------------------------|--------------------|
| Employer (non-elective) contributions*:     | \$ _____                         | \$ _____           |
| Pretax salary-reduced deferrals:            | \$ _____                         | \$ _____           |
| After-tax deferrals:                        | \$ _____                         | \$ _____           |
| Roth elective deferrals:                    | \$ _____                         | \$ _____           |
| Date of first Roth deferral: ____/____/____ |                                  |                    |
| Total surrendered:                          |                                  | \$ _____           |

We do not track this information. Please place this transfer in the most restrictive source.

\* GuideStone® will assume the Plan’s normal vesting schedule applies to any employer dollars transferred unless you indicate here the employer dollar amount transferred that is 100% vested. \$ \_\_\_\_\_

**6. CERTIFICATION BY TRANSFERRING 403(b) ISSUER (COMPLETE IF SECTION 5 IS COMPLETED BY TRANSFERRING 403(b) ISSUER)**

I certify that the transfer is solely attributable to amounts from a Code Section 403(b)(1) annuity contract and/or a 403(b)(9) retirement income account and that the amounts to be transferred to the Plan are 100% vested.

Transferring 403(b) issuer representative signature: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**7. TRANSFERRING MONEY WITH A DIFFERENT EMPLOYER**

Employment status at the employer from which the funds are moved:  Active  Terminated Date of termination: \_\_\_\_/\_\_\_\_/\_\_\_\_

Employer signature: \_\_\_\_\_

**8. TRANSFERRING MONEY WITH THE SAME EMPLOYER**

Has the participant received a financial hardship distribution within the last 6 months?  Yes  No

If yes, date of distribution: \_\_\_\_/\_\_\_\_/\_\_\_\_

As required by law, the employer verifies all participant information in regards to the requested transfer. The Trustee may rely upon the representations made by the University, the Plan Administrative Committee or the Transferor. Except to the extent otherwise indicated, the University and/or the Plan Administrative Committee authorizes the Trustee to treat the transfer as though the amounts are attributable to a transfer of Code Section 403(b) contributions and/or earnings which are subject to distribution restrictions with respect to the participant that are not less stringent than those imposed on the contract being exchanged.

GuideStone is released from any responsibility or liability regarding the accuracy of such representations or any tax consequences resulting from the transfer of these funds.

Employer signature: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**FOR OFFICE USE ONLY:**

The Trustee is directed to accept the transfer indicated above.

Administrative Committee approval: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

# Instructions for Completing the Application for Transfer to the Baylor University Retirement Income Plan

## Use of form

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- Use this form to move your funds to the Baylor University Retirement Income Plan (the Plan) from a Code Section 403(b)(1) annuity contract or Section 403(b)(9) retirement account. The Plan does not accept a transfer of amounts which have been part of a Code Section 403(b) ERISA plan. All transferred funds must be 100% vested prior to the transfer. **Do not use this form to process a rollover.**
- A transfer applies only to the exchange or transfer of accumulations between Code Section 403(b) plans. You cannot transfer retirement plan funds from a profit sharing plan, a Code Section 401(k) plan or other qualified retirement plans to the Plan. In addition, you cannot use a transfer to move contributions from an IRA to the Plan. A transfer to the Plan cannot have any portion of the accumulations attributable to qualified voluntary employee contributions under Code Section 219 (QVECs).
- The information requested in Sections 2 and 5 should be provided by either you or the 403(b) issuer, with employer verification, from which a transfer is to be made (Transferring 403(b) Issuer). Failure to secure this information requested in Sections 2 and 5 may subject your transferred funds to more restrictive early withdrawal requirements than those imposed prior to the transfer.
- Your Plan with GuideStone cannot accept transfers from plans subject to Qualified Joint Survivor Annuity (QJSA) and/or Qualified Pre-retirement Survivor Annuity (QPSA) rules. Please contact the employer through which your funds were contributed to determine if QJSA/QPSA rules apply. Any funds GuideStone receives from you in a transfer will be assumed to be funds to which QJSA/QPSA does not apply.

## General directions for completing form

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- Read all of the enclosed materials before completing this *Application for Transfer to the Baylor University Retirement Income Plan*.
- This form must be typed or completed in ink. If you make any changes to the written information, initial the changes.
- If you fail to sign your name in Section 4, this application will be returned to you. A check for the transfer cannot be accepted until this application is complete and approved by Baylor University's Plan Administrative Committee.
- If you do not have an account balance in the Plan, but meet the eligibility requirements for university contributions, an enrollment application must be completed before you make a transfer. Contact the Plan Administrative Committee immediately at the address indicated below for an enrollment application, if necessary.
- It is your responsibility to notify the Transferring 403(b) Issuer that you wish to make a transfer and to arrange to have the check for a transfer sent to the Trustee at Retirement Operations, GuideStone Financial Resources, 5005 LBJ Freeway, Ste. 2200, Dallas, TX 75244-6152. You will need to contact the Transferring 403(b) Issuer to arrange for a transfer from that company to the Plan pursuant to the procedures of that company. The Transferring 403(b) Issuer may wish to rely on a copy of this application or may require that you complete their application.
- Return your completed form to: Plan Administrative Committee, c/o Compensation & Benefits, Baylor University, P.O. Box 97052, Waco, TX, 76798-7052. Please retain a copy of your completed form for your files.