

**APPENDIX A  
AUTHORIZED 403(b) VENDOR LIST**

This list identifies the Vendors available under the designated 403(b) Plan maintained by the Employer, on or after the effective date of this Appendix A ("Effective Date"). Vendors on this Appendix A shall be subject to requirements and restrictions under the written plan, if any, provided however that such requirements and restrictions are not intended to enlarge the rights and benefits otherwise set forth in the Individual Agreement(s).

Employer: \_\_\_\_\_ Plan Name: \_\_\_\_\_

Effective Date: \_\_\_\_\_ This Appendix A was prepared/revised on: \_\_\_\_\_

A. Vendors authorized to receive contributions and, subject to the terms of the Plan, exchanges, and/or transfers .

**If Available Under the Plan & the Individual Agreement(s):**

<u>Name of Vendor</u>	<u>Contact Name &amp; Phone Number</u>	<u>Approved for hardship distributions (Yes or No)</u>	<u>Approved for loans (Yes or No)</u>
_____	_____ / _____	_____	_____
_____	_____ / _____	_____	_____
_____	_____ / _____	_____	_____
_____	_____ / _____	_____	_____
_____	_____ / _____	_____	_____

B. Vendors included in the Plan (in accordance with applicable law) but which are not authorized to receive new contributions under the Plan:

**If Available Under the Plan & the Individual Agreement(s):**

<u>Name of Vendor</u>	<u>Contact Name &amp; Phone Number</u>	<u>Approved for hardship distributions (Yes or No)</u>	<u>Approved for loans (Yes or No)</u>	<u>Exchanges and/or transfers-in permitted, subject to terms of the Plan? (Yes or No)</u>
_____	_____ / _____	_____	_____	_____
_____	_____ / _____	_____	_____	_____
_____	_____ / _____	_____	_____	_____
_____	_____ / _____	_____	_____	_____
_____	_____ / _____	_____	_____	_____

*Subject to the provisions of the Plan, exchanges from these Vendors are permitted to a Vendor (i) authorized to receive contributions and identified in Section A or (ii) authorized to receive exchanges and/or transfers pursuant to an information sharing agreement and identified in Section C or (iii) authorized to receive transfers in a Plan to Plan transfer in accordance with and subject to the terms of the Plan and applicable law.*

C. Vendors that may receive exchanges/transfers under the Plan pursuant to an information sharing agreement (never approved to receive contributions under the Plan):

<u>Name of Vendor</u>	<u>Contact Name &amp; Phone Number</u>
_____	_____ / _____
_____	_____ / _____
_____	_____ / _____
_____	_____ / _____
_____	_____ / _____

*Providers identified in C prior to January 1, 2009 are presumed to reflect a commitment by the Vendor and the Employer to enter into an information sharing agreement not later than January 1, 2009)*

**Important Notes:**

- As provided under the Plan, any authorized Vendor named in Appendix A agrees to share information necessary for compliance purposes with Employer, an Administrator and/or with any other 403(b) provider as may be required or desirable to facilitate compliance with the Plan and all applicable laws and regulations.**
- Each Vendor named above is required to maintain records of the Funding Vehicles offered under the Plan to comply with the information sharing requirements of the Plan and applicable information sharing agreements.**

(Use an additional page for additional listings **in any category above.**)