

Participant access through Vanguard

Participant online application

September 2017



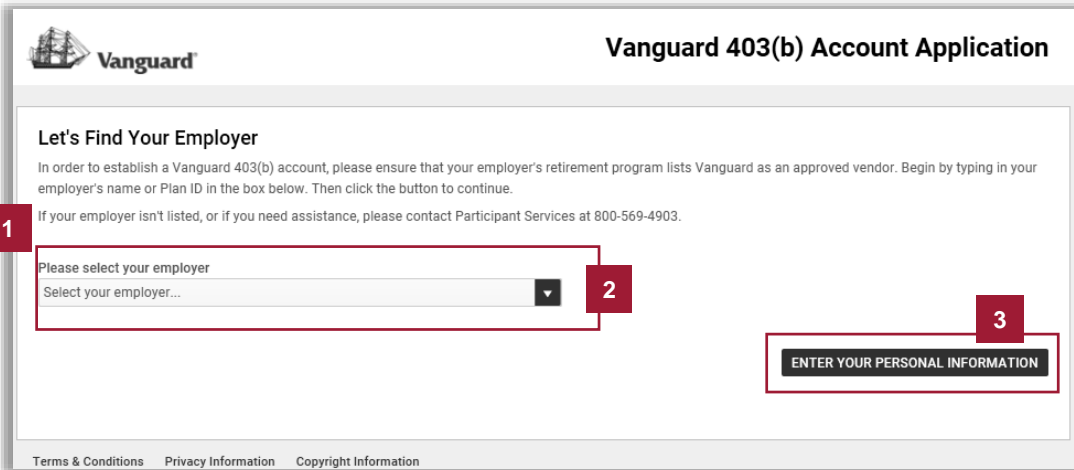
Participant online application

Participant access through Vanguard offers powerful tools to help you maximize your qualified retirement program. This guide explains the online application process that may need to be completed as the initial step in establishing your 403(b) account with Vanguard and before you can complete enrollment at vanguard.com. Please contact your plan administrator to determine if you are required to complete the online application.

How to use this guide

This guide is designed to be an automated presentation with each page appearing for a predefined length of time. If you wish to manually control moving forward or backward through the presentation, you can either use the **Page Up** and **Page Down** keys or the up and down arrow **↑↓** keys on your keyboard to navigate. If you wish to print the presentation you can simultaneously press the **Ctrl** and **P** keys (**Command** and **P** for Mac OS) to launch the print window.

Participant online application



The screenshot shows the Vanguard 403(b) Account Application page. At the top left is the Vanguard logo. The title 'Vanguard 403(b) Account Application' is at the top right. Below the title is the section 'Let's Find Your Employer'. A paragraph of text explains the process. A red box labeled '1' highlights the text 'If your employer isn't listed, or if you need assistance, please contact Participant Services at 800-569-4903.' Below this is a dropdown menu labeled 'Please select your employer' with a red box labeled '2' around it. At the bottom right is a button labeled 'ENTER YOUR PERSONAL INFORMATION' with a red box labeled '3' around it. At the bottom of the page are links for 'Terms & Conditions', 'Privacy Information', and 'Copyright Information'.

Vanguard

Vanguard 403(b) Account Application

Let's Find Your Employer

In order to establish a Vanguard 403(b) account, please ensure that your employer's retirement program lists Vanguard as an approved vendor. Begin by typing in your employer's name or Plan ID in the box below. Then click the button to continue.

If your employer isn't listed, or if you need assistance, please contact Participant Services at 800-569-4903.

Please select your employer

Select your employer...

ENTER YOUR PERSONAL INFORMATION


[Terms & Conditions](#) [Privacy Information](#) [Copyright Information](#)

Select your employer

- 1 Navigate to the online application by typing **vanguard403bervices.com/application** in your internet browser. The home page of the Vanguard 403(b) Account Application will appear.
- 2 Select the name of your employer from the dropdown list.

If your employer does not appear in the dropdown list, please contact your plan administrator as this application may not apply to you.
- 3 Click the **ENTER YOUR PERSONAL INFORMATION** button to proceed.

Participant online application



Vanguard 403(b) Account Application

Enter Your Personal Information

Plan Selected: Sample 403(b) Plan

Questions?
800-569-4903

IDENTIFYING INFORMATION

First Name	Middle Name	Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>
SSN/ITIN*	Date of Birth	Date of Hire
<input type="text"/>	<input type="text"/>	<input type="text"/>

* If you don't have a Social Security number (SSN) or individual taxpayer ID number (ITIN), please call us at 800-569-4903

MAILING ADDRESS

Street Address (No P.O. Boxes)

City State Zip Code

Country

CONTACT INFORMATION

Email Address

Phone Number

☒ Domestic ☐ Foreign


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REVIEW YOUR INFORMATION

Enter your personal information

- 1 Before you enter your personal information, confirm that the name of the plan in the **Plan Selected** section is correct. You can use the **Back** option at the bottom of the page to go back to the **Select your employer** screen to make changes.
- 2 Enter your personal information as requested in each of the sections listed on this screen.
- 3 Once you are satisfied with your responses, press the **REVIEW YOUR INFORMATION** button to proceed.

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Vanguard 403(b) Account Application

Review Your Selections

Questions?
800-569-4903

Plan Selected	Sample 403(b) Plan
First Name	Jane
Middle Name	
Last Name	Doe
Social Security Number	123-45-6789
Date of Birth	Jan 1, 1950
Date of Hire	Jan 1, 1980
Street Address	1234 Somewhere Avenue North
City	Sample City
State	MINNESOTA
Postal Code	12345
Country	USA
Email Address	jane.doe@sampleemail.com
Phone Number	123-456-7890

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SIGN YOUR AGREEMENT

[Terms & Conditions](#) [Privacy Information](#) [Copyright Information](#)

Review your selections

- 1 Review the information you entered to ensure that it is accurate.
- 2 To make changes to your personal information, click **Back** to return to the **Enter your personal information** screen.
- 3 Once you are satisfied with your responses, click the **SIGN YOUR AGREEMENT** button to proceed.

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Vanguard Vanguard 403(b) Account Application

Consent to Electronic Delivery and E-signature Agreement Questions? 800-569-4903

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Important Information About Opening A New Account

Vanguard Vanguard 403(b) Account Application

Consent to Electronic Delivery and E-signature Agreement Questions? 800-569-4903

read. I understand that in the event I do not provide investment instructions, or such instructions are unclear, the terms of the agreement provide that unless the plan sponsor has selected a different default fund, contributions will be invested in the Vanguard Target Retirement Fund with the target retirement date nearest to the year I turn 65, based on the funds offered by my plan on the date of my enrollment. I acknowledge that I have received a prospectus for the Vanguard Target Retirement Funds and I agree to be bound by its terms.

If I am a U.S. citizen, a U.S. resident alien, or a representative of a U.S. entity, I certify under penalty of perjury that:

- (a) The taxpayer ID number I have given in this application is correct (or I am waiting for a number to be issued to me).
- (b) I am a U.S. citizen or other U.S. person (as defined by the IRS in its Form W-9 instructions).
- (c) The Foreign Account Tax Compliance Act (FATCA) codes entered on the application (if any) indicating that I am exempt from FATCA reporting are correct.

If I am not a U.S. person, I will complete the appropriate Form W-8 to certify my foreign status, including my FATCA status, and claim treaty benefits, if applicable.

The IRS does not require my consent to any provision of this document.

I understand that attaching my e-signature below is the legal equivalent of submitting a document signed by hand, and that clicking the [Click Here to Sign](#) link below manifests my desire and intent to open the Account under the terms described above.

Terms & Conditions [Click Here to Sign](#) 3

Cancel

Document ID: Default-1001370562

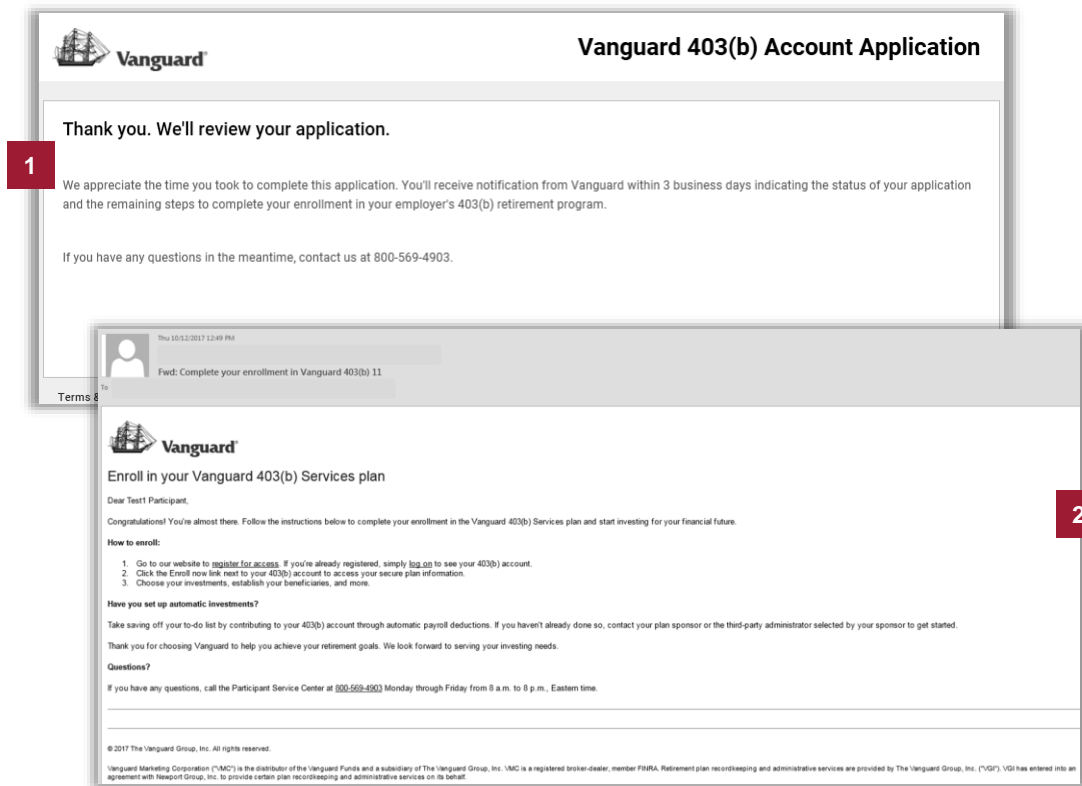
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Return to Review Information Print Document

E-signature agreement

- 1 Review the important information regarding opening a new account.
- 2 Use the **Print Document** link to download a copy of this disclosure for your records.
- 3 To accept the terms described herein, attach your e-signature by clicking the **Click Here to Sign** link.

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Application status notification

- 1 Upon submitting your e-signature, you will receive a message indicating that your application has been received.
- 2 Within three business days, you will receive an email from us regarding the status of your application and details regarding the remaining steps you need to take in order to complete your enrollment. Refer to the **How to Enroll** guide for additional details.