



You should use this IRA 60-day Rollover Request form to roll over qualified retirement funds received from an alternative financial services provider to TIAA-CREF Funds. Be sure to complete the IRA New Account Form/Adoption Agreement if you are opening a new IRA with TIAA-CREF Funds. Please complete a separate IRA 60-day Rollover Request for each different type of account being rolled over.

By signing this form, investor(s) acknowledges that neither TIAA-CREF Funds nor any Teachers Advisors, LLC affiliate or service provider to TIAA-CREF Funds has provided the investor(s) with advice, recommendations or suggestions as to any specific investment decisions. Investors in TIAA-CREF Funds are urged to consult their own advisors before making investment-related decisions, including but not limited to, those related to transfer or rollover from retirement plans, purchase or sale of investments, selection or retention of investment managers, or selection of account beneficiaries.

**Please send your signed and completed form to TIAA-CREF Funds per Return Completed Forms section below or in the enclosed customer reply envelope. Please call 800-223-1200, enter prompt 1, prompt 2, with any questions, weekdays, 8 a.m. – 10 p.m. (ET).**

**1. ACCOUNT REGISTRATION (REQUIRED)**

Please print or type.

**Owner's Name**

Prefix  First Name  MI  Last Name

Social Security Number/

Taxpayer Identification Number

Date of Birth (mm/dd/yyyy)

/  /

Gender

Male  Female

Nonresident Aliens: Enter your Social Security Number/Individual Taxpayer Identification Number.

Address Street or P.O. Box (APO and FPO addresses will be accepted)

City

State

Zip Code

Address (If the above address is a P.O. Box, you must also provide a street address)

City

State

Zip Code

Email Address

Day Time Phone Number

Evening Phone Number

**2. HOW WOULD YOU LIKE TO APPLY YOUR ROLLOVER?**

I am rolling over funds to a new TIAA-CREF Funds IRA:\*

Traditional IRA

Roth IRA

OR

I am rolling over funds to an existing TIAA-CREF Funds IRA:\*

Traditional IRA Account Number

Roth Account Number

\*Please be advised that effective January 1, 2015, you may only complete one 60-day Rollover between any of your IRAs in any 365-day period. This new IRS rule does not impact direct trustee-to-trustee transfers between IRAs. For more information, please see [irs.gov/Retirement-Plans/IRA-One-Rollover-Per-Year-Rule](http://irs.gov/Retirement-Plans/IRA-One-Rollover-Per-Year-Rule).

If you have questions or need help locating your account numbers, call us at 800-223-1200, enter prompt 1, then prompt 2.



**3. CURRENT CUSTODIAN**

Please confirm the address below with your current custodian. Please attach a copy of your current statement to help expedite this request.

Name of Current Custodian

Account Representative (If applicable)

Contact Telephone Number

Account Number

Address

Address

City

State

Zip Code

Rollover Amount

\$ 

Check Distribution

Date (mm/dd/yyyy)

 /  / 20**SOURCE OF MONEY BEING TRANSFERRED**

Please check the box that corresponds to the source of funds being rolled over.

 401(a) 401(k) 403(b) 403(b)(7) 414(h) 457(b) Public Keogh Roth IRA SIMPLE IRA Traditional IRA Defined Benefit Plan SEP IRA Roth 401(k) Roth 403(b) Roth 457(b) Public

#### 4. INVESTMENT ALLOCATION

Please indicate the funds in which you are investing. Note, if you are opening a new fund with the allocations given below, please check the box for acknowledgment in the Signature section.\*\* If you are investing in an existing TIAA-CREF Funds IRA, please fill in your IRA Fund Account number below. If you would like to invest in multiple existing IRAs, please attach a separate sheet with the additional information. The minimum investment per new fund is \$2,000 and \$100 for existing funds.

Account Number

Please check here to set this allocation for future investments, unless other instructions are received.

#### RETAIL CLASS

FUND NAME (FUND CODE)	DOLLAR AMOUNT	FUND NAME (FUND CODE)	DOLLAR AMOUNT
Bond (66)	\$ <input type="text"/>	Lifestyle Conservative (78)	\$ <input type="text"/>
Bond Index (91)	\$ <input type="text"/>	Lifestyle Growth (93)	\$ <input type="text"/>
Bond Plus (96)	\$ <input type="text"/>	Lifestyle Income (77)	\$ <input type="text"/>
Emerging Markets Debt (2794)	\$ <input type="text"/>	Lifestyle Moderate (79)	\$ <input type="text"/>
Emerging Markets Equity (67)	\$ <input type="text"/>	Managed Allocation (99)	\$ <input type="text"/>
Emerging Markets Equity Index (69)	\$ <input type="text"/>	Mid-Cap Growth (86)	\$ <input type="text"/>
Equity Index (65)	\$ <input type="text"/>	Mid-Cap Value (87)	\$ <input type="text"/>
Growth & Income (64)	\$ <input type="text"/>	Money Market (63)	\$ <input type="text"/>
High-Yield (95)	\$ <input type="text"/>	Real Estate Securities (89)	\$ <input type="text"/>
Inflation-Linked Bond (90)	\$ <input type="text"/>	Short-Term Bond (97)	\$ <input type="text"/>
International Bond (2957)	\$ <input type="text"/>	Short-Term Bond Index (2797)	\$ <input type="text"/>
International Equity (61)	\$ <input type="text"/>	Small-Cap Equity (88) <sup>†</sup>	\$ <input type="text"/>
International Opportunities (49)	\$ <input type="text"/>	Small/Mid-Cap Equity (2956)	\$ <input type="text"/>
International Small-Cap Equity (2966)	\$ <input type="text"/>	Social Choice Bond (45)	\$ <input type="text"/>
Large-Cap Growth (68)	\$ <input type="text"/>	Social Choice Equity (62)	\$ <input type="text"/>
Large-Cap Value (85)	\$ <input type="text"/>	Social Choice International Equity (2762)	\$ <input type="text"/>
Lifecycle Retirement Income (70)	\$ <input type="text"/>	Social Choice Low Carbon Equity (2763)	\$ <input type="text"/>
Lifestyle Aggressive Growth (94)	\$ <input type="text"/>	Tax-Exempt Bond (98)	\$ <input type="text"/>
		<b>Total Amount</b>	\$ <input type="text"/>

<sup>†</sup>As of October 2, 2017, the TIAA-CREF Small-Cap Equity fund is closed to new investors.



## 5. SELF-CERTIFICATION FOR LATE ROLLOVER CONTRIBUTION

Only complete Section 5 if you are completing this rollover 60 days after receiving the distribution. Retain a copy of this for your records.

Check Date (mm/dd/yyyy)

Contract Number

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Pursuant to IRS Revenue Procedure 2016-47, I certify that my contribution of:

\$  missed the 60-day rollover deadline for the reason(s) listed below under "Reasons for Late Contribution." I am making this contribution as soon as practicable after the reason or reasons listed below no longer prevent me from making the contribution. I understand that this certification concerns only the 60-day requirement for a rollover and that, to complete the rollover, I must comply with all other tax law requirements for a valid rollover and with TIAA-CREF Funds rollover procedures.

Pursuant to Revenue Procedure 2016-47, unless I have actual knowledge to the contrary, TIAA-CREF Funds may rely on this certification to show that I have satisfied the conditions for a waiver of the 60-day Rollover requirement for the amount identified above. TIAA-CREF Funds may not rely on this certification in determining whether the contribution satisfies other requirements for a valid rollover.

### REASONS FOR LATE CONTRIBUTION

I intended to make the rollover within 60 days after receiving the distribution but was unable to do so for the following reason(s) (check all that apply):

- An error was committed by the financial institution making the distribution or receiving the contribution.
- The distribution was in the form of a check and the check was misplaced and never cashed.
- The distribution was deposited into and remained in an account that I mistakenly thought was a retirement plan or IRA.
- My principal residence was severely damaged.
- One of my family members died.
- I or one of my family members was seriously ill.
- I was incarcerated.
- Restrictions were imposed by a foreign country.
- A postal error occurred.
- The distribution was made on account of an IRS levy and the proceeds of the levy have been returned to me.
- The party making the distribution delayed providing information that the receiving plan or IRA required to complete the rollover despite my reasonable efforts to obtain the information.

### GENERAL INFORMATION

If a rollover-eligible payment is distributed from an employer plan and is payable to the individual participant, the distributing institution must withhold 20% to prepay federal taxes. This will apply even if your intention is to roll over the distribution within the 60-day limit, since the 20% withholding is considered part of the distribution. If the amount rolled over is less than the full amount (partial rollover) of the distribution (amount of check and tax withholding), it will be considered taxable income. If you do not want a taxable event, then you must make up all of the tax withholding out-of-pocket to claim the full amount as a rollover contribution.

**Please note:** If you are requesting the 60-day Rollover from an IRA, the 20% tax withholding is not mandatory.

### TAX REPORTING:

60-day Rollovers are tax reportable. You will receive a 1099-R from the distributing trustee, which reports the gross amount of the distribution and any withholding. TIAA-CREF Funds will send a 5498 to you for rollover contributions made to Traditional IRAs and Roth IRAs. Rollover contributions made into a qualified employer plan will not result in a 5498 being mailed, as you will need to use confirmation statements of the transaction for reporting purposes.



## 6. SIGNATURE

I hereby authorize TIAA-CREF Funds to complete my 60-day Rollover Request as indicated on this form.

### \*\*PROSPECTUS AND OTHER DOCUMENTS ACKNOWLEDGMENT

Please check the box below acknowledging your receipt of the following documents:

Prospectuses and Product Disclosures for the investment options available to you ([TIAA.org/public/prospectuses](http://TIAA.org/public/prospectuses))

TIAA Privacy Policy ([TIAA.org/public/support/privacy-policy](http://TIAA.org/public/support/privacy-policy))

TIAA Business Continuity Policy ([TIAA.org/public/about-tiaa/business-continuity](http://TIAA.org/public/about-tiaa/business-continuity))

Please check this box ►  
to acknowledge  
electronic receipt of  
prospectuses and other  
required documents

I acknowledge that I consent to receiving and have received the above-referenced documents through TIAA's website. I further acknowledge that I am able to access these documents on the website. I understand that this acknowledgment applies only to this initial account application.

To select this acknowledgment and consent, you must have access to the website noted above. In either case, you must also be able to download, view and print the documents. You will need Adobe Reader to view and print electronic PDF documents. If you don't have Adobe Reader, go to [adobe.com](http://adobe.com) to download a free copy. To request assistance with accessing these documents electronically, please contact us toll-free at **800-842-2273**. You understand and acknowledge that accessing documents electronically may involve additional costs, including but not limited to, subscription access fees from an internet service provider and printing costs.

Paper versions of the above documents can be ordered, both now and in the future, by calling toll-free **877-518-9161** or by going to [TIAA.org](http://TIAA.org). If you are unable to acknowledge that you have received and accessed these documents on the website, please call **877-518-9161** for paper prospectuses at no charge.

**Note:** Unless indicated above, I acknowledge that I have received paper copies of the above-referenced documents.

Under penalties of perjury, I certify that: (1) The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and (3) I am a U.S. citizen or other U.S. person; and (4) The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. Item 4 reproduces the wording in the official Form W-9, but does not apply to you with respect to any intended use of this Form. Please disregard item 4 when completing this Form.

I have determined that an IRA rollover is the right option for me. I understand that TIAA-CREF Funds does not provide tax or legal advice. Additionally, TIAA-CREF Funds does not provide fiduciary investment advice with respect to the advisability of rolling over funds to an IRA.

If I have completed step 5 above, I declare that the representations made in this document are true and that the IRS has not previously denied a request for a waiver of the 60-day rollover requirement with respect to a rollover of all or part of the distribution to which this contribution relates. I understand that in the event I am audited and the IRS does not grant a waiver for this contribution, I may be subject to income and excise taxes, interest and penalties. If the contribution is made to an IRA, I understand I will be required to report the contribution to the IRS. I also understand that I should retain a copy of this signed certification with my tax records.

### Please Sign Here

Owner's Signature (Exactly as it appears in Section 1)

Today's Date (mm/dd/yyyy)

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## RETURN COMPLETED FORM(S) TO:

Please return ALL numbered pages including any pages you did not need to complete.

### STANDARD MAIL:

TIAA-CREF Funds  
P.O. Box 55081  
Boston, MA 02205-5081

### OVERNIGHT:

TIAA-CREF Funds  
30 Dan Road  
Canton, MA 02021-2809

TFDT  
F11560 (3/18)

Thank you for investing with TIAA-CREF Funds. You will receive confirmation of your account shortly.

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