



Benefits and Compensation  
Human Resources Department  
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DATE: October 8, 2009  
TO: The University Community  
FROM: Deborah A. deGroot-Osswald - HRSC  
Elizabeth S. Aumann - Benefits Department  
RE: Provider List - Tax Deferred Opportunities (403(b) Plan and IRC Section 457)

Below you will find a list of the university's approved providers for its 403(b) Plan. Both tax deferred annuities and no load mutual funds are available. The Ohio Public Employees Deferred Compensation Program (IRC Section 457) is also available for tax deferred savings. Contact information is provided below.

Please be aware that federal law limits the amount that can be contributed to a tax deferred annuity or mutual fund. It is **your** responsibility to obtain a calculation of your limits from either the provider or your tax advisor.

You must contact your selected provider in order to establish a 403(b) Account. Once the account is established you must submit a Salary Reduction Agreement (either via paper or electronically) to the Payroll Department. Paper forms are available in the Human Resources Department (3<sup>rd</sup> floor, University Hall) or online at [www.uc.edu/af/payroll](http://www.uc.edu/af/payroll).

Note that the 403(b) Plan **does not** permit in-service withdrawals (unless age 59.5) or loans. The 403(b) Plan does permit what is known as a 'permissive service credit transfers' to the OPERS or STRS Defined Benefit Plan. A 'permissive service credit transfer' allows a participant to transfer money from his/her 403(b) plan to the STRS or OPERS Defined Benefit Plan for purposes of purchasing service credit. Participants interested in a permissive service credit transfer should contact either OPERS or STRS to obtain the appropriate transfer form.

**CURRENT 403(b) Plan - TAX DEFERRED ANNUITY PROVIDERS**

**AIG VALIC**

800-892-5558 ext. 88544 Eric Shupe  
800-892-5558 ext 87507 Annette Kitchens  
800-892-5558 ext 87320 Kevin Centers

**AMERIPRISE (formerly AMERICAN EXPRESS/IDS)**

513-247-1522 Shahid Malik  
513-247-1558 Steven M. Rivard

**AXA Advisors (formerly EQUITABLE)**

513-762-7737 Glynnis Reinhart

**QUEEN CITY FINANCIAL ADVISORS (formerly BRECEK & YOUNG)**

513-721-2513 Neil Bourgeois  
513-721-2513 Geneva Jordan  
513-721-2513 Anders Juel



CINCO FINANCIAL GROUP

513-281-9988

513-281-9988

Douglas S. Kecman, CFP

Dean Brackett

GREAT AMERICAN FINANCIAL

513-977-8801

513-977-8807

Ethan Cox

Jenny Baker

DOUGHERTY AND ASSOCIATES

513-745-7007

Charlotte A. Dougherty, CFP

HAIRE BOHMER WEALTH MANAGEMENT GROUP

513-942-9700

513-942-9700

513-942-9700

David B. Haire

Michael S. Bohmer

John Kilcoyne

HORAN SECURITIES

513-745-0707

Tim Powell

ING COMPANY (formerly AETNA)

800-451-4702 ext. 4010387

800-451-4702 ext. 4017485

800-451-4072 ext. 4010933

800-451-4702 ext. 4010383

Grant L. Carter

Brian Link

Gregory Link

Phil Neibert

METLIFE RESOURCES

513-265-7801

513-784-9082

513-362-1436

513-362-1414

Susan K. Sparr

Sha-Ron Wilson

William M. Harris

Kevin Hagerty

**CURRENT 403(b) Plan - NO-LOAD MUTUAL FUNDS PROVIDERS**

TEACHERS INSURANCE AND ANNUITY ASSOCIATION

513-263-2817

Crystal Wilbers

FIDELITY DISTRIBUTORS CORPORATION

800-343-0860 or [www.fidelity.com/atwork](http://www.fidelity.com/atwork) (select "find a form" under the Quick Links option).

513-321-3182

Patrick Vaughn

VANGUARD

800-662-2003

**DEFERRED COMPENSATION PLAN (IRC Section 457)**

OHIO PUBLIC EMPLOYEES DEFERRED COMPENSATION PROGRAM\*

877-644-6457 or 513-829-6499 Tom Bugher, CRC

This is not a tax-deferred annuity, but an alternative tax shelter (authorized under IRC Section 457). Contact your tax advisor for advice on this program.

All contact information contained in this document is supplied by the providers.

