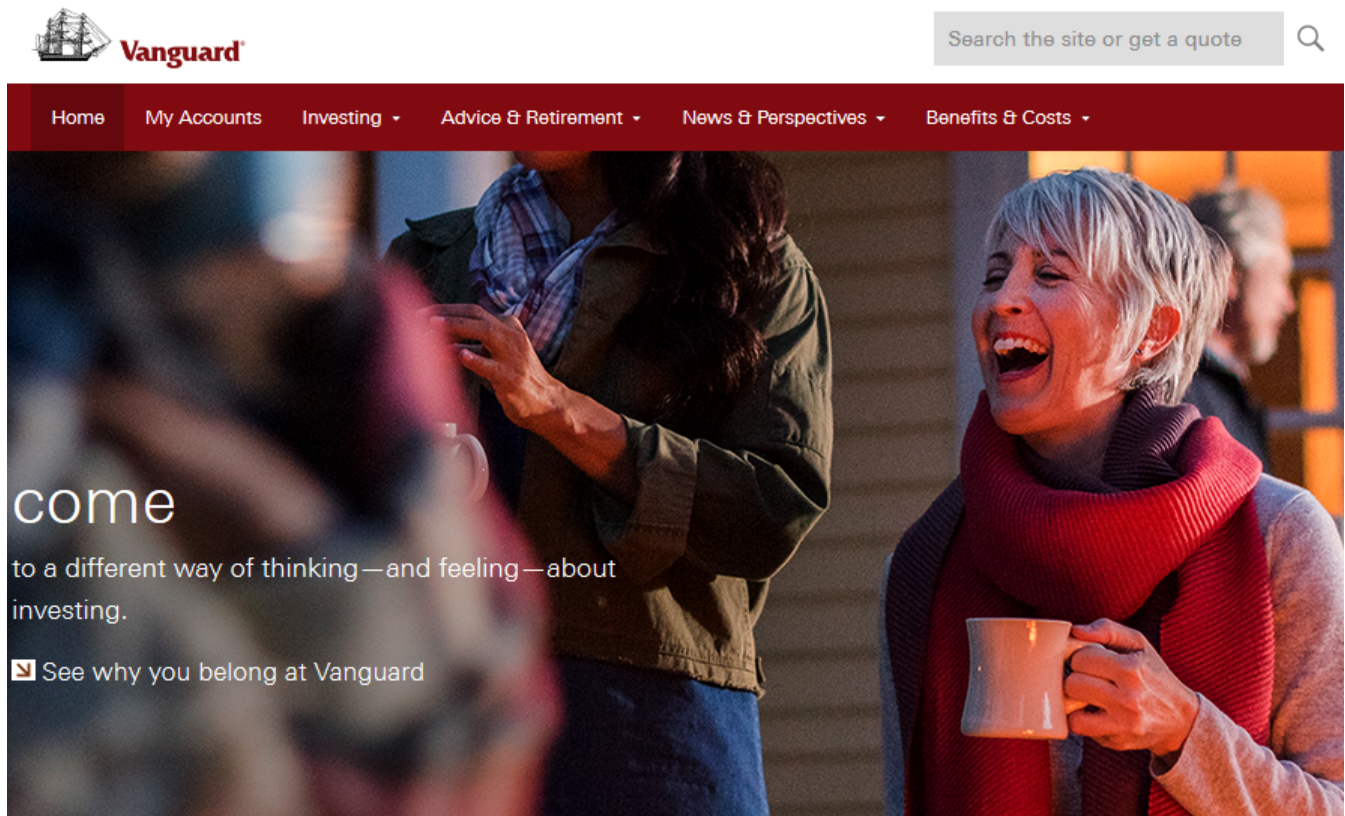


How to Open a Vanguard Investment Account For Your Solo 401k

Use this guide to assist in filling out Vanguard applications to open a brokerage account within your Solo 401k.

NOTE: Vanguard documents are subject to change at any time. Please visit Vanguard.com to ensure you have the most up to date application. This guide is for informational purposes only and is not a replacement for tax, legal or investment advice. If you have any questions on completing the Vanguard application or successfully completing your rollovers, we strongly suggest you reach out to Vanguard directly at (800) 544-6666.



There are two different types of accounts to invest with your Nabers Solo 401k Plan on the Vanguard platform, depending on what you want to accomplish. To invest in Mutual funds, you'll use the Vanguard Pooled Account. To invest in anything else, you'll use the Vanguard Nonretirement Brokerage Trust Account.

It is recommended you go to the Vanguard website so you can agree to their terms and conditions before proceeding

**Start by downloading the Vanguard Pooled Account Application at:
https://personal.vanguard.com/us/LiteratureRequest?FW_Activity=ViewOnlineActivity&v**

What's inside:

- Program Information
- Form
- FAQs

Retirement Investment Program guide for “pooled” accounts

As a retirement plan sponsor, you may already offer a wide variety of investment options in your plan. But what if you want to offer more? More quality fund choices. More plan management flexibility. More tools to help your participants choose and manage their investment strategy.

Good news! You can enhance your employer retirement plan with Vanguard funds.

With the Vanguard Retirement Investment Program for pooled accounts, an investment-only service, you can add more than 150 no-load Vanguard funds and other investments to your existing employer-sponsored plan.¹

You can also contribute to and manage your investments completely online. In addition, your participants can access a wealth of advanced tools and calculators on vanguard.com that can help them quickly learn how to build their own investment strategy. So you can devote more time to what matters most—running your business.

The program can be used to enhance any qualified or nonqualified retirement plan. You must already have a plan document in place before you enroll.

Note: To assist in filling out this application, you may want to have your Solo 401k Adoption Agreement.

You can download your adoption agreement at <https://docs.solo401k.com> under "401k Documents". Your adoption agreement is a PDF within the '401k Plan & Trust' download.

Begin by inputting your business and plan information

1. Employer Information

John Doe LLC

Name of Organization *(Do not use acronyms.)*

Securities industry regulations require investment advisory firms to maintain a list of all government entity clients that invest in any participant-directed investment program or plan that is sponsored or established by a state or political subdivision or any agency, authority, or instrumentality thereof, including, but not limited to, 529 college savings programs, 403(b) and 457 retirement plans, and similar programs or plans.

You must disclose the organization's government entity status by checking a box below. If you don't check a box, your plan will be designated as a government entity (i.e., a state or political subdivision, including any agency, authority, or instrumentality of a state, city, county, or other political subdivision) for purposes of Rule 206(4)-5 of the Investment Advisers Act of 1940.

Is the employer a government entity? Check one. *(required)*

Yes No

2. Plan Information

Important: You must attach copies of pages from your trust agreement or plan document that identify **the name of the trust, date established, and trustee name(s) and signature(s)**. We won't be able to establish your program if you don't attach this documentation.

John Doe 401k Plan

Plan Name

11-2222222

Plan Taxpayer Identification Number *(required)*

(123) 455-9999

Business Telephone Number

john@doe.com

E-Mail Address *(optional)*

Employer Informtaion: Input your Adopting Employer name as listed on page 2 of your Adoption Agreement above "(the "Employer")"

Check 'No' for your employer being a government entity.

Plan Name: Input your plan name as listed on page 2 of your Adoption Agreement after "The Plan as applicable to the Employer shall be known as:" Please note, Fidelity wants your 401k plan name, not the trust name.

Plan Taxpayer Identification Number: Use your Trust Tax ID number found on page 4 of your Adoption Agreement.

Business Telephone Number: Your business phone number.

Email address is optional.

123 Sesame St

Plan's Street Address or APO/FPO (A P.O. box or rural route number is **not** acceptable.)

Anytown

City

CA

State

12345

Zip

Account's Mailing Address if Different From Above (used both as the account's address of record and for all account mailings)

City

State

Zip

On the next page,

Plan's Street Address: This is your "Employer Address" as listed on page 3 of your Adoption Agreement.

Mailing address: Input your business mailing address, if different than your principal business address

Next enter info for the trustees. You should enter info for all trustees listed on your Solo 401k, which would be you and possibly your spouse. No one else should be listed.

3. Trustees—REQUIRED

Individual trustees. List all trustees below.

Entity as trustee. Specify the individual(s) below who will be authorized to act for the entity. Please also complete and attach our Organization Resolution form.

The individuals listed below will have the authority to add, change, or delete plan contacts with access to banking information and plan contacts without access to banking information, and to view, update, and submit contribution data and bank information for your plan by phone, online, and by mail. (Continue on a separate sheet, if necessary.)

John Doe

Name of Trustee *(first, middle initial, last)*

111-22-9999

Social Security Number *(required)*

(123) 555-9999

Business Telephone Number

john@doe.com

E-Mail Address *(required for online access)*

Jane Doe

Name of Trustee *(first, middle initial, last)*

999-33-8787

Social Security Number *(required)*

(123) 555-9999

Business Telephone Number

jane@doe.com

E-Mail Address *(required for online access)*

Name of Trustee *(first, middle initial, last)*

Social Security Number *(required)*

Business Telephone Number

E-Mail Address *(required for online access)*

Enter the Name, SSN, business phone number and email address for each trustee.

Everything on Page 3 can be left blank.

4. Plan Contact(s) With Access to Banking Information *(optional)*

You may specify at least one employee to be given online access to view, update, and submit contribution data and bank information for your plan. (To designate more than two individuals, use a separate sheet.) You may also designate a **plan contact without access to banking information** in Section 5. **Important:** When your plan is established and registered on Vanguard Small Business Online, the trustees will be responsible for adding or changing **plan contacts with access to banking information**.

Name of Plan Contact With Access to Banking Information *(first, middle initial, last)*

Social Security Number *(required)* _____

Business Telephone Number

E-Mail Address *(required for online access)*

Name of Plan Contact With Access to Banking Information *(first, middle initial, last)*

Social Security Number *(required)* _____

Business Telephone Number

E-Mail Address *(required for online access)*

5. Plan Contact Without Access to Banking Information *(optional)*

You may specify at least one employee or representative to have online access to view, update, and submit contribution data for your plan, but to have *no access to your banking information*. **Important:** When your plan is established and registered on Vanguard Small Business Online, the trustees will be responsible for adding or changing **plan contacts without access to banking information**.

Name of Plan Contact Without Access to Banking Information *(first, middle initial, last)*

Social Security Number *(required)* _____

Business Telephone Number

6. Account Setup for a Pooled Account

- The investment assets of all participants will be pooled together in a common account for each mutual fund. The minimum initial investment is the amount required by each mutual fund (\$3,000 for most funds).
 - Dividends and capital gains will be reinvested in additional shares of the same fund.
- Tell us how you would like your initial contributions invested.

Fund Number	Fund Name	Investment Amount
0045	Municipal Money Market	\$ 1,000.00
0540	Vanguard 500 Index Fund Admiral	\$ 1,000.00
		\$
		\$

From Vanguard's website, select at least one Mutual fund you'd like to invest in, and enter the information in Section 6. You are not obligated to invest in this fund; this page is simply for Vanguard's informational purposes.

You can leave Section 7 blank.

Sign, print and date the final page

to Vanguard. Revocation will not affect any liability resulting from transactions initiated before Vanguard has had reasonable time to act upon the revocation.

The undersigned represent and certify that we are authorized to execute this document on behalf of the plan. *(Sign exactly as your name is listed in Section 3. Continue on a separate sheet, if necessary.)*

➤			
	Signature of Trustee	Print Name	Date (month, day, year)
➤			
	Signature of Trustee	Print Name	Date (month, day, year)
➤			
	Signature of Trustee	Print Name	Date (month, day, year)
➤			
	Signature of Trustee	Print Name	Date (month, day, year)

Number of Signatures Required to Transact on Accounts:

If you don't indicate a number, only one trustee signature will be required on all written transaction requests.

If you're the only trustee, write "1" under "Number of Signatures".

If you and your spouse are co-trustees, write "2" if you want both of you to sign for writtn transaction requests. Write "1" if you only want one of you to have to sign.

The Pooled account application should be mailed in along with the first 4 pages of your Adoption Agreement.

Mail your application to:

Vanguard
P.O. Box 1106
Valley Forge, PA 19482-1106

For overnight delivery, mail to:

Vanguard
455 Devon Park Drive
Wayne, PA 19087-1815

If you're investing in anything other than mutual funds, start by downloading the Vanguard Nonretirement Brokerage Trust Account at:
https://personal.vanguard.com/us/LiteratureRequest?FW_Activity=ViewOnlineActivity&v



Consent to electronic delivery

By clicking **I Accept**, you consent to receive Vanguard's [privacy policy](#), any applicable [fund prospectus](#), and any other materials that may be required in connection with the information you requested, on the terms set forth below. You also agree to read and agree to the terms of these documents before investing.

Access to Online Documents

- To view and print the documents online, you'll need Adobe Reader 10.0 or higher. If you don't have Adobe Reader, go to www.adobe.com, where you can download it for free.
- If you're unable to download, view, and print the documents, you may have a popup blocker installed, and you will need to disable it. If you are still unable to view the documents, you can contact Vanguard's Investor Information Center at 877-662-7447 for assistance or to request a free paper copy of any of these documents.

Duration of Election and Consent

Your consent applies only to this particular request. If you request additional information you may be required to consent to electronic delivery again.

Costs and Risks

Vanguard does not charge you a fee to use our website, but you could incur expenses from an Internet service provider when you access information online. Also, be aware that your Internet service provider may occasionally experience system failure and hyperlinks to documents may not function properly.

On the first page, select "Retirement trust account".

1. Type of account *Check only one.*

	<input type="checkbox"/> Individual Account owned by one person.				
Verify that any registration you indicate here is valid in your state.	<input type="checkbox"/> Joint Account owned by two or more people. Joint accounts will be registered as "joint tenants with right of survivorship" unless you indicate otherwise below. Joint account registration <i>e.g., tenants in common, community property</i> <input style="width: 100%;" type="text"/>				
If this box is checked, you must indicate a state below.	<input type="checkbox"/> Uniform Gifts to Minors Act/Uniform Transfers to Minors Act (UGMA/UTMA) Account established as an irrevocable gift or transfer of assets to a minor. The assets in this account may only be used for the benefit of the minor. An adult custodian administers the account until the minor reaches the age of termination (or later age, if permitted by state law) for the state under whose law the gift or transfer is being made. <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">State</td> <td>If you're opening an UGMA/UTMA account, you must provide the state under whose law the gift or transfer is being made.</td> </tr> <tr> <td><input style="width: 95%;" type="text"/></td> <td></td> </tr> </table>	State	If you're opening an UGMA/UTMA account, you must provide the state under whose law the gift or transfer is being made.	<input style="width: 95%;" type="text"/>	
State	If you're opening an UGMA/UTMA account, you must provide the state under whose law the gift or transfer is being made.				
<input style="width: 95%;" type="text"/>					
	<input type="checkbox"/> Guardian Account administered by a court-appointed guardian or conservator. Important: You must submit an original or certified (within 90 days) copy, with a raised seal, of the court appointment of the guardian or conservator.				
Enter information about the organization in Section 2.	<input type="checkbox"/> Organization or other entity, including estate Account owned by an entity.				
Enter the trust information in Section 3 and the trustee information in Section 5. All currently serving trustees must sign in Section 12.	<input type="checkbox"/> Trust <i>for an existing trust only</i> Account established to invest assets held in a personal or retirement trust. Note: If this is an organizational trust (such as a foundation or endowment), check the Organization or other entity box instead. For trusts under will/testamentary: You must attach copies of the pages of the will that confirm the creation of the trust and those that contain the trustee name(s) and the testator's (decedent's) signature. The pages of the will should indicate it was filed with the probate court and include a court stamp (the stamp doesn't need to be original or include a date). If the will doesn't contain a court stamp, attach a copy of Letters Testamentary or court document appointing the trustee of the trust. For all other types of trusts: You must attach copies of the pages of the trust agreement that contain the trust name and date, and a listing of the trustees' names and the signature page(s), signed by the persons who were required to sign under state law.				
Enter information about the trust in Section 4.	<input checked="" type="checkbox"/> Retirement trust account Retirement account for which Vanguard doesn't act as trustee. Important: You must send us a copy of the pages in your plan's trust agreement that show the name of the plan, the plan date, and a listing of all trustees and their signatures.				

Skip sections 2 and 3**4. Retirement trust account information** *for those accounts only*

Name of plan or trust agreement
John Doe 401k trust
Employer ID number
Trust EIN
<input type="checkbox"/> Check here if the account is being opened for the purpose of participating in an employee benefit plan established under ERISA.

Note: Enter information about the trustee(s) in Section 5.

In Section 4, "Name of Plan" is listed on page 2 of your Adoption Agreement after "The Plan as applicable to the Employer shall be known as"

Employer ID Number is listed on page 3 of your Adoption Agreement under "Employer Tax ID".

Leave the box underneath unchecked.

Next you'll enter info for the trustees on the account.

5. Account owner information

You must provide all of the requested information for each person to be registered on the account. If any account owner isn't of legal adult age for the state in which he or she resides (18 for most states, 19 in Alabama and Nebraska, and 21 in Mississippi), we can't open the account (unless the account is to be opened as a custodian account for a minor and the custodian is identified on page 7).

For trust accounts. The first mailing address listed below will be the primary address for any mailings. For trusts registered under an employer ID number, only the first trustee will be given authority to consent to electronic delivery of account-related information for the trust. Notice of availability of that information will be sent only to that trustee's e-mail address.*

For organization accounts. The first mailing address listed below will be the primary address for any mailings. Only the organization representative designated on the Organization Resolution form will be given authority to consent to electronic delivery of account-related information for the entity. Notice of availability of that information will be sent only to that individual's e-mail address.

For all other accounts. The first individual listed below will be named first in the account registration. This individual's Social Security number will be used for tax-reporting purposes, and his or her address will be used for any mailings.

Important: All owners, current trustees, and executors must sign this form.

Check here if, based on the information above, the account owner is a minor.

Owner, minor, trustee, executor, or organization representative

Provide the full, legal name. >	Name <i>first, middle initial, last</i> <input style="width: 90%;" type="text" value="John Doe"/>	
You must complete this entire section. >	Birth date <i>mm/dd/yyyy</i> <input style="width: 40%;" type="text"/>	E-mail address <i>required for electronic delivery</i> <input style="width: 90%;" type="text"/>
	Social Security number or individual taxpayer ID number <input style="width: 60%;" type="text"/>	Gender <i>optional</i> <input type="checkbox"/> Male <input type="checkbox"/> Female
You must provide at least one phone number. >	Daytime phone <i>area code, number, extension</i> <input style="width: 40%;" type="text"/> <input type="checkbox"/> Mobile	Evening phone <i>area code, number, extension</i> <input style="width: 40%;" type="text"/> <input type="checkbox"/> Mobile

You must complete this entire section. >	Citizenship		Tax residency	
	<input checked="" type="checkbox"/> U.S. <input type="checkbox"/> Resident alien <input type="checkbox"/> Nonresident alien** Country of citizenship <i>if not U.S.</i> <input style="width: 90%;" type="text"/>		<input type="checkbox"/> U.S. <input type="checkbox"/> Other Country of tax residence <i>if not U.S.</i> <input style="width: 90%;" type="text"/>	

Mailing address *If you're a trustee, executor, or organization representative, use the trust/estate/organization address.*

Street or P.O. box <input style="width: 95%;" type="text"/>	
City, state, zip <input style="width: 65%;" type="text"/>	Country <i>if not U.S.</i> <input style="width: 25%;" type="text"/>

Fill out pages 5-6 for yourself.

Association *Check all that apply, regardless of employment or retirement status.*

<input type="checkbox"/> I am, or my spouse is, a Vanguard employee.					
<input type="checkbox"/> Check this box if: <ul style="list-style-type: none"> • an employee of FINRA, • or a person associated with a member of a stock exchange, FINRA member firm, or a municipal securities dealer ("associated person"), • or such associated person's spouse, • or such associated person's minor children, <p>will have a financial interest in or trading/discretionary authority over this account.</p> <p>If you check this box, you must provide a letter of account approval from a compliance officer of such member firm along with this application to open this account. Failure to include the required approval letter may delay the processing of your request to open this account. Upon written request of the member firm, we will automatically send the firm duplicate copies of confirmations, statements, and other information.</p> <p>By way of example, account approval is required whenever an employee of a broker-dealer, or such employee's spouse or minor children, seeks to open an account with us, or when such employee is a custodian or trustee or granted investment authority under a power of attorney for an account. An account approval letter isn't required for FINRA, NYSE, or Vanguard employees to open an account.</p>					
<input type="checkbox"/> Check this box if you are, or if a household member is, a control person or an affiliate of a public company, as defined in SEC Rule 144 (this would include, but is not limited to, 10% shareholders, policymaking executives, and members of the board of directors). <p>If you check this box, you must provide the names and trading symbols of the companies for which such person serves as a control person or an affiliate.</p>					
<table border="1"> <thead> <tr> <th style="text-align: left;">Name of company</th> <th style="text-align: left;">Trading symbol</th> </tr> </thead> <tbody> <tr> <td style="height: 20px;"></td> <td style="height: 20px;"></td> </tr> </tbody> </table>	Name of company	Trading symbol			
Name of company	Trading symbol				

Successor custodian *if a custodian has been named*

Upon the custodian's resignation, incapacity, or death, the successor custodian will be responsible for contacting Vanguard to initiate the change in custodianship. We'll also require the successor custodian to provide certain documentation, depending on the reason behind the change.

Complete this section only if you're establishing an UGMA/UTMA account for a minor.

>	Name <i>first, middle initial, last</i> <input style="width: 100%;" type="text"/>
	Birth date <i>mm/dd/yyyy</i> <input style="width: 100%;" type="text"/>

If you and your spouse are co-trustees, fill out pages 7-8 for your spouse.

"Successor custodian" on page 8 can be left blank.

6. Your money market settlement fund

Clients of Vanguard Brokerage Services need two accounts, both of which you can open by using this application:

A brokerage account to hold your securities, including stocks, bonds, options, exchange-traded funds (ETFs), certificates of deposit (CDs), and non-Vanguard funds. (Vanguard fund shares can't be held in your brokerage account.)

A Vanguard money market settlement fund* that's registered identically to your brokerage account (i.e., same owner, account type, address, and Social Security or individual taxpayer ID number). This fund, which isn't subject to a minimum balance requirement after it's established, will reflect debits (such as payments for securities) and credits (such as sales proceeds).

Money market settlement fund *Check only one.*

We'll establish your settlement fund in Vanguard Federal Money Market Fund (0033) to pay for, and receive proceeds from, brokerage transactions. This fund isn't subject to a minimum balance requirement.

If you don't check a box, we'll establish your settlement fund in your existing account. >

<input type="checkbox"/> My existing Federal Money Market Fund account	
Account number	If the registration of the account isn't identical to the registration you've indicated on this form, a new Vanguard Federal Money Market Fund that matches the requested registration will be established.
<input type="checkbox"/>	
<input checked="" type="checkbox"/> New account	

Note: Money recently added to your settlement fund by check or electronic bank transfer may not be immediately available to pay for certain brokerage transactions and may not be immediately available for withdrawal. Purchases by check or electronic bank transfer may take up to ten calendar days to be completed.

Select "New account" to establish a new account under your Solo 401k.

Select how you will fund the Vanguard brokerage account

7. How you'd like to make your initial investment

Combine any of the following methods to open and fund your accounts.*
 We charge a \$20 annual account service fee for each Vanguard Brokerage Account. This fee is waived for our Voyager, Voyager Select, and Flagship clients, as well as for any client who elects to receive statements and other information electronically.

Make your check payable to <i>Vanguard</i> . >	<input type="checkbox"/> By check, to be deposited in my new or existing money market settlement fund.	Check amount \$ <input type="text"/>
	<input type="checkbox"/> By accessing funds in identically registered Vanguard fund accounts when I'm ready to trade. No check is enclosed.	Funds amount (approximate) \$ <input type="text"/>
Complete our Brokerage In-Kind Account Transfer Form. >	<input type="checkbox"/> By transfer from a brokerage firm or other financial institution.	
Complete our Transfer of Assets Between Nonretirement Brokerage Accounts Form. >	<input type="checkbox"/> By transfer from an existing Vanguard Brokerage Account.	
Turn to "How to deposit stock certificates" on page 15. >	<input type="checkbox"/> By depositing endorsed stock certificates.	

8. Dividends and other distributions

Indicate how you want us to apply cash dividends and other cash distributions from your securities and your money market settlement fund.

Brokerage account distributions

If you don't choose an option, reinvestment-eligible distributions will be reinvested in additional shares of the security. >	<input type="checkbox"/> Reinvest earnings (at no charge) from my eligible securities in additional shares of those securities.
	<input type="checkbox"/> Deposit earnings from my securities into my money market settlement fund.

Money market fund distributions

If you don't choose an option, all distributions will be reinvested in additional fund shares. >	<input type="checkbox"/> Reinvest distributions in additional shares of the fund.
	<input type="checkbox"/> Mail my distribution checks to the address of record.

9. Checkwriting *optional*

You should receive your checkbook in two to three weeks. >	<input type="checkbox"/> I want to write checks on the money market settlement fund.	Number of signatures required on checks <input type="text"/>
	Minimum amount per check is \$250. All registered account owners must sign in Section 12 exactly as the checks will be signed. For custodial or	

In Sections 7-9, pick the options you prefer.

Input your 401k trust bank information so you can transfer funds from the 401k trust bank account into the Vanguard account and vice versa

10. Bank information

Complete this section to add electronic bank transfer and wire redemption options to your money market settlement fund. This will provide you with the flexibility to move your money by phone or online between your bank account and your settlement fund.

Important: If the registrations and/or authorized signers on the bank account and your Vanguard account don't match, skip to Section 11 and complete the remainder of this application along with our Bank Transfer Service Form.

Required documentation. We must receive at least one of the following:

- A voided check or preprinted deposit slip (tape or clip below).
- A bank account statement that contains the account number and the registration of the bank account (all other information can be crossed out).
- A letter from the bank on bank letterhead, signed by a bank officer, that contains the routing number, account number, account registration, and authorized signers.

Important requirement: If the bank account is owned by and registered in the name of an organization or trust, and the name(s) of the authorized signer(s) or trustee(s) doesn't/don't appear in the registration on the voided check, preprinted deposit slip, or bank account statement, we MUST receive a letter from the bank. The letter must be on bank letterhead, be signed by a bank officer, and contain the routing number, account number, account registration, and your name(s) as the authorized signer(s) required to authorize debit and credit entries to the organization's or trust's bank account.

Bank information. You must provide all of the following information. *

Check this box if you'd like Vanguard to make this the default bank account for future transaction requests.

Make this my primary bank.

Bank name <input style="width: 95%;" type="text"/>	Account type <input type="checkbox"/> Checking <input type="checkbox"/> Savings
Bank routing/ABA number <i>Enter nine digits.</i> <input style="width: 95%;" type="text"/>	Bank account number <input style="width: 95%;" type="text"/>
Bank account registration <i>List all names that appear on the bank account.</i> <input style="width: 95%;" type="text"/>	

Complete Section 10 with your Solo 401k bank information if you're going to be making multiple transfers to and from your bank account.

11. Duplicate documentation

If you want documentation of securities transactions sent to a third party—for instance, your employer or financial advisor—complete this section.

<input type="checkbox"/> Duplicate statements		<input type="checkbox"/> Duplicate confirmations	
Name of third party			
<input type="text"/>			
Mailing address			
<input type="text"/>			
City, state, zip			Country <i>if not U.S.</i>
<input type="text"/>			<input type="text"/>

Complete Section 11 if you want your documentation sent to a third party, such as a CPA. This is optional.

NOTE THAT SECTIONS 11 AND 12 ON PAGE 2 OF THE ATTACHED APPLICATION AGREEMENT CONTAIN A PREDISPUTE ARBITRATION CLAUSE.

<p>All those listed in Section 5 (except minors and successor custodians) must sign and date here. ></p> <p>If additional signatures are required, photocopy this page.</p>	Signature of owner, custodian, trustee, executor, or organization representative	Date <i>mm/dd/yyyy</i>
	<input type="text"/>	<input type="text"/>
	Signature of joint owner, co-trustee, co-executor, or organization representative	Date <i>mm/dd/yyyy</i>
	<input type="text"/>	<input type="text"/>

Mailing information

Mail pages 1–14 of this application and any attached information in the enclosed postage-paid envelope.

If you don't have a postage-paid envelope, mail to: > Vanguard Brokerage Services
P.O. Box 1170
Valley Forge, PA 19482-1170

For registered or certified mail, or overnight delivery, mail to: > Vanguard Brokerage Services
455 Devon Park Drive
Wayne, PA 19087-1815

Sign and date the application as the trustee. If your spouse is a co-trustee, he/she needs to sign as well.

Mail your application along with the first 4 pages of your Adoption Agreement to Vanguard. At this time, Vanguard will only accept original applications, none via fax.

Mail to:

Vanguard Brokerage Services
P.O. Box 1170
Valley Forge, PA 19482-1170

For overnight delivery, mail to:

Vanguard Brokerage Services
455 Devon Park Drive
Wayne, PA 19087-1815

How to rollover funds from an existing Vanguard account

If you have an existing Vanguard account and want to rollover those funds into your new Vanguard account, contact Vanguard directly at 800-992-7188 to start the process.

DISCLAIMER: Please note that this is not and should not be considered a replacement for tax, legal or investment advice. If you have any questions on completing the Fidelity application or successfully completing your rollovers, we strongly suggest you reach out to Fidelity directly at (800) 544-6666.