

Part A - CONTRIBUTIONS / PARTICIPANTS

DUE by NOVEMBER 1

Data Certification

1. Institution Name:

UT Southwestern Medical Center at Dallas

2. PREPARED BY:

Name: Regena Williams

Address: 5323 Harry Hines Blvd

Title: Accounting Supervisor, Payroll

Dallas, TX 75390-9018

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Fax: 214-648-0131

E-mail: Regena.Williams@UTSouthwestern.edu

3. APPROVED BY (Certifying Official):

Name: George Kokoruda

Address: 5323 Harry Hines Blvd

Title: Assistant Vice President

Dallas, TX 75390

Phone: 214-648-0100

Fax: 214-648-0104

E-mail: George.Kokoruda@UTSouthwestern.edu

4. Check here to indicate that a list of authorized ORP companies during FY10 has been submitted in accordance with item #9-a in the Instructions.

5. CERTIFICATION

The information given in Part A of this report, including requested attachments, is correct and true to the best of my knowledge and is in accordance with applicable statutes and rules.



Signature of Certifying Official

10/29/10

Date

>>> Submit this signed page in accordance with item #8 in the Instructions (scan is preferred). <<<

UT Southwestern Medical Center
Approved ORP carrier list – FY10

Fidelity Investments Company
ING Financial Advisers
Lincoln Financial Group
MetLife Resources
TIAA-CREF
VALIC

TEXAS HIGHER EDUCATION COORDINATING BOARD
Fiscal Year 2010 Report on Optional Retirement Program Participation

Part A - CONTRIBUTIONS / PARTICIPANTS

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This report covers the period
9/01/09 through 08/31/10.

1. Institution Name: UT Southwestern Medical Center at Dallas

2. Total Employer Contribution Rate(s) during FY10:
(6.4% state base rate plus any local supplement for a maximum 8.5%)

Group (See Appendix C.)	Total Employer Contribution Rate	Number of Participants
Grandfather	8.50%	220
Non-Grandfather	8.50%	1,996
Total Number of Participants		2,216

3. Employer Contributions during FY10:

Employer Contribution Funding Source (See Appendix A.)	Number of Participants (See Appendix B.)	Employer Contributions for these participants
General Revenue Funds	554.08	\$4,857,143
Other Educational and General Funds	3.50	\$7,852
Non-Educational and General Funds	870.12	\$13,959,146
Federal Funds and Private Grants	788.30	\$4,589,592
Other (SHSU): LEMIT Fund 581		
Other (SHSU): CMIT Fund 5083		
Other (TAMUS): Special		
Other (THECB): Collected		
Other (specify):		
Total	2,216.00	\$23,413,733

4. Employee Contributions during FY10 (6.65%): \$18,322,601

5. Total ORP Contributions during FY10: \$41,736,334

COMMENTS:

Part A - CONTRIBUTIONS / PARTICIPANTS

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Electronic Funds Transfer (EFT)

1. Institution Name: UT Southwestern Medical Center at Dallas

Statutory Requirement regarding EFT

Section 830.202 of the ORP statute (Texas Government Code, Chapter 830) requires the following:

- An institution must send ORP contributions to ORP companies by electronic funds transfer (EFT) if the institution is currently able to send funds by EFT.
- If an ORP company is unable to receive funds by EFT, the institution must certify such to the Coordinating Board.
- At least once each fiscal year, institutions must give notice to each ORP participant indicating which ORP companies are unable to receive funds by EFT.

2. Mark one box to indicate the EFT status of your ORP companies during FY10:

- All companies that received ORP contributions from this institution in FY10 were able to receive ORP contributions by EFT from this institution in FY10.
- Some or all companies that received ORP contributions from this institution in FY10 were not able to receive ORP contributions by EFT from this institution in FY10. *(Indicate below in #3 which companies were not able to receive ORP contributions from this institution by EFT in FY10.)*
- Other (explain):

3. The following companies were not able to receive ORP contributions by EFT from this institution in FY10:

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Part B - ELIGIBILITY

DUE by NOVEMBER 1

This report covers the period
9/01/09 through 08/31/10.

1. Institution Name:

UT Southwestern Medical Center

2. LIST OF ORP-ELIGIBLE POSITIONS

Check here to indicate that a list of positions eligible for ORP during FY10 has been submitted in accordance with item #9-b in the Instructions.

NOTE: List each "Director" position individually (e.g., Director of HR, Payroll Director) rather than listing one category called Director.

3. ORP ELECTION

- a. Number of employees who initially became eligible for ORP during FY10 and elected to participate in ORP:
b. Number of employees who initially became eligible for ORP during FY10 and elected to remain in TRS:
c. Total number of employees who initially became eligible for ORP during FY10:

	Number	Percentage
a.	273	64.2%
b.	152	35.8%
c.	425	100%

4. CERTIFICATION

- a. All non-classified positions at my institution have been reviewed for eligibility to participate in the Optional Retirement Program.
b. The list of ORP-eligible positions submitted in response to item #2 above is in compliance with Chapter 25, Rules and Regulations of the Texas Higher Education Coordinating Board.



Signature of Certifying Official

10/27/2010

Date

Name: Brett Phillips

Title: Senior Benefits Representative

Phone: (214) 648-9816

Fax: (214) 648-9881

Address: 5323 Harry Hines Blvd

Dallas, TX 75390-9023

Email: brett.phillips@utsouthwestern.edu

COMMENTS:

**UT Southwestern Medical Center
ORP ELIGIBILITY TITLES
2009-2010**

President
Executive Vice President
Vice President
Associate Vice President
Assistant Vice President
Dean
Associate Dean
Assistant Dean
Executive Director
Director*
Chief, University Police
Pharmacist
Professor
Professor, Research
Professor, Clinical
Associate Professor
Associate Professor, Research
Associate Professor, Clinical
Instructor
Instructor, Research
Instructor, Clinical
Assistant Instructor
Faculty Associate
Chief Nurse Anesthetist
Nurse Anesthetist
Postdoctoral Researcher

*Director – If head of administrative department –
may or may not be eligible in other areas (see attached list)

**UT Southwestern Medical Center
ORP ELIGIBILITY DIRECTOR TITLES
2009-2010**

CREDENTIALING DIRECTOR

DIRECTOR

DIRECTOR ANIMAL RESOURCES CENTER

DIRECTOR BUDGET-FINANCIAL ANALYST

DIRECTOR CANCER CENTER ADMINISTRATION

DIRECTOR DESIGN AND CONSTRUCTION

DIRECTOR EMERGENCY SERVICES

DIRECTOR FINANCE AND CONTROLLER

DIRECTOR HEALTH INFORMATION MANAGEMENT

DIRECTOR HOUSEKEEPING

DIRECTOR LABORATORY SERVICES

DIRECTOR MEDICAL SURGICAL SERVICES

DIRECTOR MEDICATION SAFETY

DIRECTOR PATIENT FINANCIAL SERVICES

DIRECTOR PHARMACY SERVICES

DIRECTOR TRANSPLANT SERVICES

DIRECTOR, EMPLOYEE ASSISTANCE PROGRAM

DIRECTOR, PERFORMANCE IMPROVEMENT AND CLINICAL EDUCATION

PROFESSOR AND DIRECTOR

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1. Institution Name: UT Southwestern Medical Center at Dallas

2. Number of ORP Participants / ORP Assets Under Management:

Number of Participants: Indicate the number of participants that sent contributions to each ORP company during FY10. See Appendix B for instructions on using the Headcount method or the FTE method.

Assets Under Management: For each company that received ORP contributions from your institution during FY10, indicate the total amount of ORP funds on account with that company that are considered part of your plan. Report amounts as of the end of the last quarter that is completely within the fiscal year, which is June 30, 2010.

Company Code: The companies listed below received ORP contributions during the prior reporting year. If a company is not listed, please contact Toni Alexander at (512) 427-6195 for the ORP company code.

ORP Company Name	ORP Company Code	No. of ORP Participants (See App. B.)	Total ORP Assets Under Management in this Plan as of June 30, 2010
Allianz Life of North America / PIMCO	026		
American Century	179		
American Funds	168		
American General (Western National)	008		
Americo / Great Southern	033		
Ameriprise Financial	042		
Annuity Investors Life	243		
Aviva / AmerUs (Delta Life)	159		
AXA Equitable	024		\$144,744
Capital Guardian / Pacific Life	118		
Chase Insurance Life and Annuity	256		
Commonwealth Annuity & Life	265		\$889,238
Conseco (Jefferson Nat'l / inviva)	032		
CUNA (Century Life Assurance of America)	120		
Davis Funds	246		
Diversified Investment Advisors	223		
DWS Investments / Scudder	125		
Edward Jones	257		

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Evergreen Investments	122		
Fidelity Investments	115	902.19	\$166,589,713
First Investors Fund	147		
Fiserv (Resources Trust / Lincoln Trust)	241		
Fortis Investments	131		
Franklin Templeton	197		
FTJ FundChoice	255		
Great American Life (GALIC)	095		
Great-West / EducatorsMoney	035		
Guardian Insurance and Annuity	137		
GWN Securities	264		
Hartford, The	038		
ING / Citistreet (Northern Life / ReliaStar)	001	457.37	\$100,664,091
Invesco Aim (AIM Investments)	221		
ISC Group, Inc.	259		
Jackson National	117		
Kemper Investors Life	045		
Legend Group, The	250		

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Life Ins. Co. of the Southwest	146		
Lincoln Financial Group (Jeffrsn-Pilot / Delaware)	049	249.04	\$63,593,870
LPL Financial (Linsco Private Ledger)	247		
ManuLife Financial / John Hancock	154		
Massachusetts Mutual / Connecticut Mutual	051		
Merrill Lynch / Bank of America	176		
Merrill Lynch Life Ins / Family Life Ins	106		
MetLife / Travelers (Gen Am / New Engl Fin)	052	115.87	\$6,868,064
MFS Investment Management	239		
MG Trust Co.	262		
Mid-Atlantic Capital Corp. / Trust Co.	258		
Midland Nat'l / Investors Life of Nebraska	163		
Modern Woodmen of America	205		
MONY -- Mutual of New York (AXA)	056		
Morgan Stanley Smith Barney	252		
National Western	134		
Nationwide	058		
Nationwide Financial	245		

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New York Life	060		
Oppenheimer Funds	218		
Pentegra (RSGroup / QUADS / Tx Ret Trust)	171		
PFS Investments / Primerica	210		
Pioneer Investments	140		
PlanMember Securities	263		
Principal Funds	136		
Prudential Annuities / American Skandia	070		
Prudential Financial	119		
Security Benefit	073		
Southwestern Life / Valley Forge Life	078		
State Farm Life	079		
Sterling Trust	242		
Sun Life Assurance of Canada -- U.S.	103		
Sunamerica (Anchor Natl / Integrated Resources)	238		
Symetra Life / Safeco Life	261		
T. Rowe Price	123		
Thrivent Financial for Lutherans	158		

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TIAA-CREF	081	386.21	\$105,959,163
Transamerica Financial (AEGON)	082		
Trust Co. of America	190		
UBS	226		
Union Central	084		
United Investors Life	213		
UNUM / UNUMProvident	198		
US Global Investors / United Services Funds	230		
USAA Life / USAA Investment Mgmt	087		
VALIC	088	105.32	\$19,406,433
Van Kampen Investments	139		
Vanguard Group	180		
Wachovia Securities (Wells Fargo)	119		
Waddell & Reed	135		
Western Reserve Life Assurance -- Ohio	207		

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ORP Company Name	ORP Company Code	No. of ORP Participants (See App. B.)	Total ORP Assets Under Management in this Plan as of June 30, 2010
TOTAL	 	2,216.00	\$464,115,316

COMMENTS: