NAPA
National Association of Plan Advisors
Part of the American Retirement Association

PLATFORM SUMMARY
# ADMINISTRATION FEE DETAIL[1,2]

PROVIDER

| | RESPONSES | |
|---|---|---|
| **Per Participant Pricing** | | |
| One-time initial setup cost | | |
| Baseline total annual plan cost | | |
| # of accounts included in baseline | | |
| Per participant annual fee – range | | |
| **Asset-based Pricing** | | |
| One-time initial setup cost | $ | |
| Baseline basis points charge (total annual plan cost) | $ | |
| Asset range for baseline charge | $ | |
| Basis point fee — range | $ | |
| Do you offer proprietary funds? | Y/N | |
| Do lineup investment options include group annuity contracts? | Y/N | |
| Do you require use of stable value or general account? | Y/N | |
| **Benefit Events** | | |
| Hardships (Qualification) | $ | |
| Hardships (Processing) | $ | |
| QDRO (Qualification) | $ | |
| QDRO (Processing) | $ | |
| Terminations (Processing) | $ | |
| Loan Set-up | $ | |
| Loan Administration | $ | |
| **Compliance Services** | Offered | Cost (if offered) |
| 5500 Completion | Y/N | $ |
| 401(a) Discrimination Test | Y/N | $ |
| 401(k), 401(m) Discrimination Test | Y/N | $ |
| 401(k), 401(m) Discrimination Test — Midyear | Y/N | $ |
| 402(g) Elective Deferral Test | Y/N | $ |
| 410(b) Coverage Test | Y/N | $ |
| 415(c) Annual Addition Test | Y/N | $ |
| 416 Top-Heavy Test | Y/N | $ |
| Average Benefit Test | Y/N | $ |
| Distribution Processing (failed tests) | Y/N | $ |
| Gateway Testing | Y/N | $ |
| Non-discrimination Classification Test | Y/N | $ |
| **Plan Document Services** | Offered | Cost (if offered) |
| Initial Plan Document Review (Year 1 only) | Y/N | $ |
| First Basic Prototype Restatement | Y/N | $ |
| **Employee Notices/Mailings** | Offered | Cost (if offered) |
| 404(a)(5) Participant Notice (Annual): Distribution | Y/N | $ |

1. *Providers may charge additional fees for certain miscellaneous administration, recordkeeping, compliance, communications, and/or investment-related fees that are not detailed in the proposal.*
2. ***Fees and services are subject to change at any time.*** *See proposal for actual pricing. Final pricing, services, and contractual provisions are at the sole discretion of each plan provider.*

## ADMINISTRATION FEE DETAIL[1,2]

PROVIDER

| Employee Notices/Mailings | Offered | Cost (if offered) |
|---|---|---|
| Fund Changes: Distribution | Y/N | $ |
| Safe Harbor: Distribution | Y/N | $ |
| Sarbanes-Oxley (Conversions): Distribution | Y/N | $ |
| QDIA: Distribution | Y/N | $ |
| **Communications** | Offered | Cost (if offered) |
| Enrollment Kits | Y/N | $ |
| Statements to Homes | Y/N | $ |
| On-site Education Meetings | Y/N | $ |
| **Miscellaneous** | Offered | Cost (if offered) |
| Employer Stock | Y/N | $ |
| Self-Directed Brokerage (Employee) | Y/N | $ |
| Self-Directed Brokerage (Employer) | Y/N | $ |
| + / - Funds; Outside Funds | Y/N | $ |
| **Termination Fees** | Offered | Cost (if offered) |
| Contract Discontinuance | Y/N | $ |
| Market Value Adjustment | Y/N | $ |
| Puts on Investments | Y/N | $ |
| Other | Y/N | $ |

## PLAN SERVICE HIGHLIGHTS

### PROVIDER BACKGROUND

| | RESPONSES |
|---|---|
| **DC Assets Under Management** | |
| 2016 | |
| 2015 | |
| 2014 | |
| **Total DC Participants** | |
| Number of Plans (by Number of Participants): | |
| <50 | |
| 50-99 | |
| 100-249 | |
| Number of Plans (by Asset Size): | |
| $0-$5 million | |
| $5-$10 million | |
| $10-$25 million | |
| Total Number of Plans | |
| Number of Years Providing Services | |

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| Administration — Staff Support | |
|---|---|
| Total Number of Employees in DC Group | |
| Account Representatives (Relationship Managers) | |
| Average # of Plans Assigned to Account Representatives | |
| Dedicated Contact for Day-to-Day Questions | |
| Account Representatives' Hours of Availability | |

## PLAN SERVICE HIGHLIGHTS
### RECORDKEEPING

| | RESPONSES |
|---|---|
| Recordkeeping System (Proprietary or Leased, Platform Name) | |
| Recordkeeping System Location (City, State) | |
| Third Party Administrator (if unbundled plan) | |
| **Data Submission Method (e.g., Enrollment, Census) and Length of Time to Process Submissions** | |
| Electronic | Y/N |
| Paper | Y/N |
| Excel | Y/N |
| Ability to Track Eligibility | Y/N |
| Offer 3(16) Administrative Services? | Y/N |
| Do you adjudicate Loans/Distributions? | Y/N |
| **Plan Deposit Submission Method** | |
| Same Day Plan Contributions Invested if by 4:00 p.m. ET | Y/N |
| Next Trading Day Plan Contributions Invested if by 4:00 p.m. ET | Y/N |
| Other QDIA Management | Y/N |
| Payroll Provider | Y/N |
| Integrate HSA Offering | Y/N |
| System Upgrade Annual Budget | $ |

## PLAN SERVICE HIGHLIGHTS
### COMPLIANCE SERVICES

| | RESPONSES |
|---|---|
| SSAE 16 Package | Y/N |
| **Plan Document Capabilities** | |
| Standard Prototype | Y/N |
| Volume Submitter | Y/N |
| Custom | Y/N |

| Summary Plan Description | | |
|---|---|---|
| Delivery to: (Employee, Employer?) | | |
| Format | | |
| Posted on Website | | |
| **Testing/Reporting** | Offered | Cost (if offered) |
| 401(k)/401(m) | Y/N | $ |
| 402(g) | Y/N | $ |
| 415 Annual Addition | Y/N | $ |
| 416 Top Heavy | Y/N | $ |
| 410(b) Coverage | Y/N | $ |
| Form 5500 | Y/N | $ |
| Online signature-ready 5500 preparation | Y/N | $ |
| Long-form 5500 | Y/N | $ |
| Summary Annual Report | Y/N | $ |

## PLAN SERVICE HIGHLIGHTS
### WEBSITE FEATURES: PARTICIPANT

| | OFFERED | COST (if offered) |
|---|---|---|
| Personalized Rate of Return | Y/N | $ |
| Statements on Demand | Y/N | $ |
| Interactive Financial Calculators/Gap Analysis/SS Tools | Y/N | $ |
| Custom Messaging | Y/N | $ |
| Prospectus/Fact Sheets | Y/N | $ |
| Loan Balance | Y/N | $ |
| Loan Modeling | Y/N | $ |
| Address Changes | Y/N | $ |
| Beneficiary Change | Y/N | $ |
| Contribution Change | Y/N | $ |
| Automatic Enrollment Services | Y/N | $ |
| Automatic Deferral Increases | Y/N | $ |
| Automatic Rebalancing Services | Y/N | $ |
| Account Access Through Mobile Apps and Mobile Friendly Website | Y/N | $ |
| Managed Retirement Accounts | Y/N | $ |
| Financial Wellness Solution | Y/N | $ |
| Other Notable Items/Awards for Innovative Features | Y/N | $ |

# PLAN SERVICE HIGHLIGHTS
## WEBSITE FEATURES: PLAN SPONSOR

PROVIDER

| | OFFERED | COST (if offered) |
|---|---|---|
| Plan Demographic Information | Y/N | $ |
| Asset Allocation Analysis | Y/N | $ |
| Participant Account Statements | Y/N | $ |
| Communication Materials (Targeted Communications) | Y/N | $ |
| Transaction Activity | Y/N | $ |
| Census Data | Y/N | $ |
| Change Participant Address | Y/N | $ |
| Beneficiary Tracking | Y/N | $ |
| Customized Participant Enrollment Materials | Y/N | $ |
| Online Participant Education Materials | Y/N | $ |
| Employee Educational Meetings | Y/N | $ |
| Investment Performance Reports | Y/N | $ |
| Monthly Plan Sponsor Newsletter | Y/N | $ |
| Other Notable Features | Y/N | $ |
| Initial Employee Conversion Meeting | Y/N | $ |
| Dedicated Relationship Manager | Y/N | $ |
| Trustee Services | Y/N | $ |
| Roth Account Support | Y/N | $ |
| Age-Weighted or New Comparability Contribution Calculation with Cross-Testing | Y/N | $ |
| Contributions Submitted via Check or Wire (Non-ACH) | Y/N | $ |
| Participant Locator and De Minimis Account Services | Y/N | $ |
| Collective Trust-Fund Service | Y/N | $ |
| Annual Plan Valuation | Y/N | $ |
| Company Stock Use in Lineup | Y/N | $ |
| Prototype Plan Document Services | Y/N | $ |
| Mobile Capabilities (Apple App, Apple Watch App, etc.) | Y/N | $ |
| Online Enrollment via Mobile | Y/N | $ |

# PLAN SERVICE HIGHLIGHTS
## PARTICIPANT SERVICES

| | RESPONSES |
|---|---|
| **Call Center Capabilities** | |
| Hours of Operation | |
| Location (City, State) | |
| # of Representatives | |
| Average Tenure | |
| Securities Licensed | |

## PLAN SERVICE HIGHLIGHTS
### PARTICIPANT SERVICES

PROVIDER

| | Offered | Cost (if offered) |
|---|---|---|
| Call Center Support (24 Hr.) | Y/N | $ |
| Multilingual Support | Y/N | $ |
| Participant Investment Advice Services Available? | Y/N | $ |

## PLAN SERVICE HIGHLIGHTS
### ROLLOVER SERVICES

| | **OFFERED** | **COST** (if offered) |
|---|---|---|
| **Prototype Plan Document Allowances** | | |
| Force Distributions <$5,000 | Y/N | $ |
| Force Distributions >$1,000 <$5,000 | Y/N | $ |
| No Forced Distributions | Y/N | $ |
| Plan Termination/Service Termination | Y/N | $ |
| Automatically Cash Out Balances Under $5,000 (Term’d Participants)? | Y/N | $ |

## INVESTMENT PROGRAM OVERVIEW
### INVESTMENT STRUCTURE

| | **RESPONSES** |
|---|---|
| Methodology (Asset Manager, Open Architecture, etc.) | |
| Name of Product/Platform | |
| Contractual Structure (Ex: Group Annuity Contract) | |
| Number of Funds Available on Platform | |
| Number of Proprietary Funds (Managed, Sub-advised or Separate Accounts) | |
| Number of Non-Proprietary Funds | |
| Maximum Number of Funds ER Can Offer EEs | |
| Proprietary Fund Requirement | Y/N |
| Require the use of Variable Annuities or Separate Accounts? | Y/N |
| How is revenue sharing handled on your platform?<br>*Ex: Offset administration, credited back to participants at fund or plan level, etc. Please list all options available.* | |
| Name of Trading Platform(s)<br>*Ex: NSCC* | |