

RFP: 2020 Independent Retirement Plan Questions:

Reference	Vendor Question	Response
Section III, Provider/Vendor Services, page 6	To best illustrate our vendor benchmark service and process, can you please provide your most recent fee disclosure report from your provider? This should include a detailed accounting of administration costs, services provided and investments used to better understand how the plan is being paid vs. services rendered.	Please utilize the information contained in IRS 5500 reports provided to complete your benchmark analysis.
401(k) and 403(b) plans	Can you please provide the most recent 5500 for each plan?	Please see the attached.
Plan Balances	Can you please provide the most recent quarter end plan balances by investment for each plan?	Please utilize the information contained in IRS 5500 reports provided to complete your benchmark analysis.
Service Provider	Can you please confirm the names of all plan service providers, for example record-keeper, auditor, actuary, etc.	Please utilize the information contained in IRS 5500 reports provided to complete your benchmark analysis.
Fee Disclosures	Can you please provide the most recent employer and employee fee disclosure statements?	Please utilize the information contained in IRS 5500 reports provided to complete your benchmark analysis.
Employee Count	Can you please provide total number of employees and number of participants in each plan?	Please utilize the information contained in IRS 5500 reports provided to complete your benchmark analysis.
401(k) Plan Features	Are Roth contributions and In-Plan Roth conversions allowed?	Yes
403(b) Plan	Can you please confirm the status of the plan and original purpose in establishing the plan?	The plan was established for highly compensated employees who are members of management.
Company Locations	Can you please list each company location and number of employees at each?	Please see the Agency's website.
Investment Policy, Education and Expense Payment Policy Statements	Can you please provide the most recent version of each?	Please see the attached documents.