

State of Wisconsin Deferred Compensation Program Performance Standards Report 4Q2017 - 98971-01

Participant Services

| Contract Provision | Requirement | Number Processed | Standard | % Met Standard |
|-----------------------------|--|------------------|--|----------------|
| Enrollment Applications | Process enrollment applications | 905 | Processed within 5 days; established within 31 days or later, if requested. | 100% |
| Increase/Decrease Deferrals | Process deferral increases/decreases | n/a | Processed within 5 days; established within 31 days or later, if requested. | 100% |
| Allocation Changes | Process allocation changes | n/a | Processed within 5 days; effective next pay or later, if requested. | 100% |
| Transfers between funds | Process transfer requests | n/a | Processed same day if received in good order prior to 3:00 PM Central Time; otherwise, next business day | 100% |
| Lump Sum Distributions | Process lump sum distribution requests | 259 | Processed same day if received in good order prior to 3:00 PM Central Time; otherwise, next business day | 100% |
| Installment Payment Options | Process installment payment (PPAY) requests | 3,676 | Processed same day if received in good order prior to 3:00 PM Central Time; otherwise, next business day. Payments on the 29th, 30th or 31st of the month not allowed. | 100% |
| Complaints Error Resolution | Resolve complaints forwarded by participants | 3 | Respond to participants within time frame agreed upon with Great-West | 100% |

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|--------------------------|---|---|------------------|--|----------------|
| Section C, Part 1.1 & 1. | Local office | Field customer services will be provided in Wisconsin to participating employees and employers (to answer questions, provide additional information and services, etc.) | N/A | Every work day of the year. | 100% |
| Section C, Part 3.0 | Targeted Presentations | Conduct informational presentations targeted at various groups of employees (new, close to retirement, lower income or gender, etc.) | N/A | Format to be approved by the Department and Great-West. | Std Met |
| Section C, Part 3.0 | Employer Presentations | Offer every participating employer an informational presentation. | N/A | At least annually for each employer | Std Met |
| Section C, Part 3.0 | Employee Presentations | Offer every participating employee an informational presentation. | N/A | At least annually. | Std Met |
| Section C, Part 4.2 | Eligible employer contact | Every eligible local government employer will be contacted regarding the WDC. | N/A | At least annually. | Std Met |
| Section C, Part 4.2 | Eligible employee contact | All eligible state and local government employees will be notified of their eligibility to participate in the WDC. | N/A | Annually with an agreed upon payroll staffer. | Std Met |
| Section C, Part 5.3 | Financial emergency hardships | Financial emergency hardship application review and processing. | N/A | Application and recommendation submitted to the Department within 5 working days from receipt of properly completed application and required documentation; distributions within 10 working days of receipt of notification of approval. | Std Met |
| Section C, Part 8.0 | Contacting eligible employers not participating | Contact each eligible employer not participating in the WDC and offer an informational presentation. | N/A | At least annually. | Std Met |

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Administrative Services

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|----------------------|--------------------------------------|---|------------------|---|----------------|
| Section B, Part 2.8 | Audit expenses | Great-West to remit up to \$15,000 annually toward the cost of the annual audit of WDC's financial condition by the independent Certified Public Accounting firm selected, monitored and retained by the WDC. | N/A | Payment of up to \$15,000 to the Plan Administrative Account within 90 days from the end of the calendar year. | Std Met |
| Section B, Part 2.9 | Open records for Audits | Open all books, records, ledgers and journals relating to the WDC for inspection and audit. | N/A | Within 30 days of receipt of request. | Std Met |
| Section B, Part 2.11 | Participant Fees | Participant fees will be assessed monthly and deposited into the WDC's Plan Administrative Account maintained by Great-West. | N/A | Deposited on the date assessed or next business day thereafter. | Std Met |
| Section B, Part 2.12 | Payments from Administrative Account | Payments from the WDC's Plan Administrative Account maintained by Great-West to reimburse Department expenses will be made on a quarterly basis. | N/A | Within 15 days after the end of the quarter from receipt of request unless insufficient funds available. | Std Met |
| Section C, Part 6.1 | Web site availability | Web site available | N/A | Web site availability 24 hours a day, except for routine maintenance of the system, which when necessary generally takes place on Sunday between the hours of 12:01 a.m. Mountain Time and 12:01 p.m. Mountain Time. Access to the Web site may be limited or unavailable during periods of peak demand, market volatility, systems upgrades, maintenance or for other reasons. | Std Met |

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Reporting

| Contract Provision | | Requirement | Number Processed | Standard | % Met Standard |
|-----------------------|---|--|------------------|--|----------------|
| Section B, Part 2.10 | Annual Report | Annual report itemizing local office actual administrative costs incurred by Great-West. | N/A | Within 120 days from the end of the calendar year. | N/A |
| Section C, Part 7.6 | Consolidated quarterly participant statements | Consolidated quarterly participant statements, including personal rate of return. | N/A | Within fifteen (15) business days of the end of each quarter, or within ten (10) business days after receipt of information in good order from third party sources, whichever is later. | Std Met |
| Section C, Part 7.7 | Investment returns | Investment return of the quarterly investment performance of products and participant newsletter. | N/A | Within 20 business days from the end of each quarter, or within ten (10) business days after receipt of information in good order from third party sources, (including the newsletter) whichever is later. | Std Met |
| Section C, Part 10.1 | Plan Status Report | Plan Status Report as contained in Exhibit 5 | N/A | Quarterly within 45 days of the end of the quarter. | Std Met |
| Section C, Part 10.2 | Performance Standards Report | Performance Standards Report in a mutually agreeable format as contained in Exhibit 5: WDC Report Details. | N/A | Quarterly within 45 days of the end of the quarter. | Std Met |
| Section C, Part 10.10 | Demographic Analysis | WDC Demographic Analysis | N/A | Now a part of the Annual Plan Report, so due date is 120 days from end of the calendar year. | Std Met |
| Section C, Part 12.5 | Basic Fund Performance | Basic Fund Performance Reports | N/A | Within 60 days of the end of each quarter. Three quarters will receive a Basic Fund Performance. | Std Met |
| Section C, Part 12.8 | Annual Fund Performance Report | Annual Expanded Fund Performance Report | N/A | Draft within 75 days of the end of the year with the final version delivered within 90 days after the end of the year. | Std Met |

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Interactive Services

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| Section C, Part 10.8 | Web site statistics | Web site statistics: information to be included in each report located in Exhibit 5: WDC Report Details. | N/A | Quarterly within 45 days of the end of the quarter. | Std Met |
| Section C, Part 10.9 | IVR statistics | IVR statistics: information to be included in each report located in Exhibit 5: WDC Report Details | N/A | Quarterly within 45 days of the end of the quarter. | Std Met |
| Telephones | CSR and IVR Systems | Client Service Representatives and Automated Voice Response System | N/A | All telephone calls to the Wisconsin and Home Office Client Service Representatives and the automated voice response system combined will be answered within ninety (90) seconds on average at least ninety percent (90%) of the time on an on-going average annual calendar year basis. On average for the calendar year, there will be less than one percent (1%) of calls that receive a busy signal, and the abandoned call rate will average less than five percent (5%) for the calendar year. | Std Met |