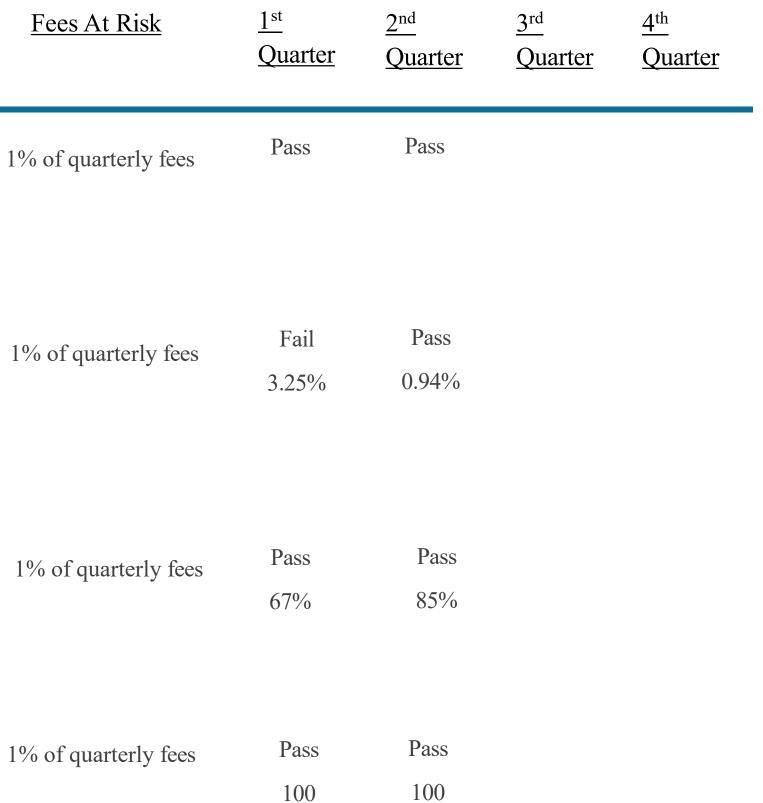
<u>Service</u> <u>Benchmark/Measurement</u>	<u>Fees At Risk</u>
Automated Voice Response (AVR) Website Availability 99% of the time AVR/Internet available excluding regularly scheduled maintenance	1% of quarterly fees
Call Abandon Rate Less than 3% of participant calls abandoned	1% of quarterly fees
Call Answering Speed 80% of participant calls answered within 20 seconds	1% of quarterly fees

Contribution and Loan Repayment Processing

Contribution and loan repayment processing if applicable) completed the same business following confirmation of totals provided in funding request to the PLAN SPONSOR and wire received by 4 p.m. EST. Wires received after 4 p.m. EST will receive the following days trade date.





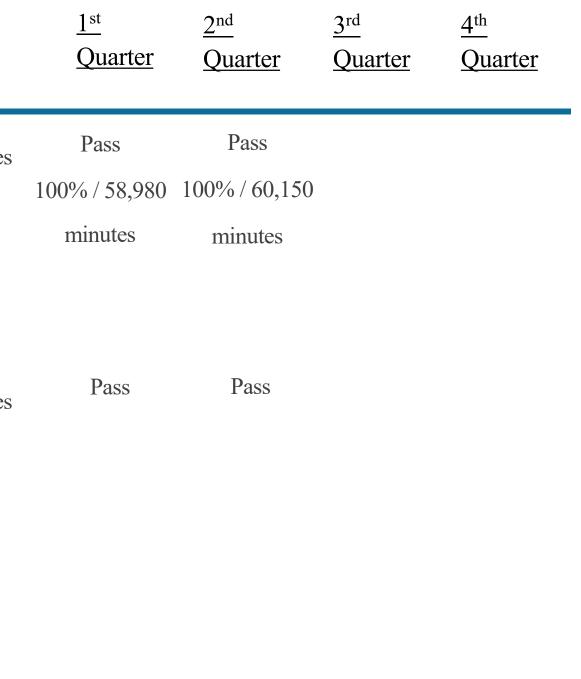
Fees At Risk

Benchmark/Measurement	
Customer Care Center Hours of Availability Retirement representatives available 99% of time during regular hours of service (7:00 a.m. to 9:00 p.m. CT, Monday through Friday and 8 a.m. to 4:30 p.m. CT, Saturdays) except for closings of NYSE, holidays and shortened hours associated with early market close or holiday eves.	1% of quarterly fees
Disbursements 99% of PARTICIPANT disbursement requests processed accurately within two (2) BUSINESS DAYS of completed requests received in good order. Transactions must be entered by 4 p.m. EST or close of market due to shortened hours associated with early market close/ holiday eves	1% of quarterly fees

Distribution of Form 1099R or 1099-MISC

Service

Available by January 31 of each calendar year, excluding corrected 1099R or 1099- MISC 1% of quarterly fees







<u>Service</u> Benchmark/Measurement	<u>Fees At Risk</u>	<u>1st Quarter</u>	<u>2nd</u> Quarter	<u>3rd</u> Quarter	<u>4th</u> Quarter
Distribution Upon Request of Generic and/or PARTICIPANT Specific Documents Including Administrative Forms, Enrollment and Termination Materials, and PARTICIPANT Statement Copies 99% oof documents distributed within one (1) BUSINESS DAY of PARTICIPANT request. (Excludes enrollment material delays directly related to quarterly performance information updates required by FINRA)	1% of quarterly fees	Pass 100	Pass 100		
EMPLOYER Satisfaction Total EMPLOYER satisfaction will be ranked on a scale of 1-10; Service Benchmark is an average score of 7 or higher.	1% of quarterly fees	Pass	Pass		
First Call Resolution for PARTICIPANTS 90% of PARTICIPANT questions resolved during first call	1% of quarterly fees	Pass 99.80%	Pass 99.90%		
Investment Transfers 99% of investment transfers processed accurately on the same BUSINESS DAY if PARTICIPANT direction received in good order by EMPOWER by 3:00 p.m. CT, early close time of investment, or close of market due to shortened hours associated with early market close or holiday eves.	1% of quarterly fees	Pass 100	Pass 100		



Service	Fees At Risk
Benchmark/Measurement	
PARTICIPANT and PLAN Level Reporting for PLAN SPONSOR via Plan Service Center 99% of the time reports available online – updated monthly and nightly excluding regularly scheduled maintenance.	1% of quarterly fees
PARTICIPANT Confirmation Statements 99% mailed or available online on within two (2) BUSINESS DAYS following completion of transaction processing.	1% of quarterly fees
PARTICIPANT Satisfaction – Customer Care Center After – Call Survey PARTICIPANT satisfaction will be ranked on a scale of 1-5; Service Benchmark is an average score of 4 out of 5 in the overall PARTICIPANT survey or higher.	1% of quarterly fees
PARTICIPANT Statement Mailing/Availability PARTICIPANT statements made available online within ten (10) BUSINESS DAYs after receipt of information in good order from third party sources, or mailed within fifteen (15) BUSINESS DAYS of quarter-end.	1% of quarterly fees

	<u>1st</u> Quarter	2 nd Quarter	<u>3rd</u> Quarter	<u>4th</u> Quarter	
S	Pass	Pass			
	D				
ës	Pass 100	Pass 100			
ës	Pass 4.52	Pass 4.36			
es	Pass	Pass			



<u>Service</u> Benchmark/Measurement

Fees At Risk

Submission of feedback Files to EMPLOYERS Payroll/Third Parties

95% of interfaces and feed files will be accurate and provided within timeframe as mutually agreed by parties.

Timeliness of Callbacks to DEPARTMENT

Same day assuming message left before noon CT; if after noon CT; call will be returned no later than 1:00 pm CT the following BUSINESS DAY excluding paid Time Off (PTO) days of the relationship Manager or Client Service Manager.

<u>Fees At Risk</u>	<u>1st</u> Quarter	<u>2nd</u> Quarter	<u>3rd</u> Quarter	<u>4th</u> Quarter
1% of quarterly fees	Pass 100	Pass 100		
1% of quarterly fees	Pass	Pass		



Disclosures

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