

**ENCORE DEFINED CONTRIBUTION SUPPLEMENTAL QUESTIONNAIRE
PLAN FEES AND INVESTMENT PERFORMANCE**

OVERALL PLAN FEES

1. Please provide:
 - (a) Most recent rule 408(b)(2) plan fee disclosure from all plan recordkeepers.
 - (b) Most recent rule 404(a)(5) participant disclosure from all plan recordkeepers.

2. (a) What are the all-in fees for the plan [stated as a percentage (ex. .32%)]? _____%
- (b) List the current all-in fees for the plan in the most current quarter compared to the prior six years:

YEAR	FEES	YEAR	FEES
20 ____	\$	20 ____	\$
20 ____	\$	20 ____	\$
20 ____	\$	20 ____	\$

- (c) What are the all-in fees for recordkeeping stated as a percentage? _____%
- (d) What are the all-in fees for investment options stated as a percentage? _____%

PLAN RECORDKEEPING

1. Identify the Plan Recordkeeper(s):

2. **On what basis** do you pay your recordkeepers [per capita (fixed flat fee); percentage of assets under management (basis points) ; and/or revenue sharing; and **how much have you paid for recordkeeping services** for the last six years [example, \$XX / per participant or .XX% / per participant]

METHOD OF RECORDKEEPING:

3. AMOUNT PER PARTICIPANT [as per-participant fee or asset-based charge]

YEAR	FEES	YEAR	FEES
20 ____	\$	20 ____	\$
20 ____	\$	20 ____	\$
20 ____	\$	20 ____	\$

3. Does the plan sponsor pay the recordkeeping fees [or any part of the fees], or are they charged to plan participants on the basis described above?

4. Is the plan recordkeeper compensated with indirect compensation or revenue sharing? If so, is any revenue sharing rebated back to the plan or participants?

5. To the extent that revenue sharing has been eliminated, has the plan utilized revenue sharing in the last six years?

6. Describe the steps taken to ensure that the overall recordkeeping fees are reasonable, including what benchmark is used for comparison:

7. When was your last Recordkeeper RFP? 1-5 years: _____ More than 5 years: _____ Not sure: _____

8. Who conducted the RFP?:
Outside Consultant/Name: _____
Internal Staff/Procurement: _____

PLAN INVESTMENTS

1. Describe the process of your investment committee in evaluating, benchmarking, and monitoring the expense and performance of the plan investment options including how these processes are documented:

2. Please describe all changes in investment options offered to plan participants in the last six years:

3. How does the plan committee ensure that it has selected the lowest-share class investment options?

4. How many investment options does the plan offer, and how many are active versus passive/index funds (include target date suite of funds as one option)?

5. What is the default investment QDIA option for participants?

6. Has the QDIA default investment option changed in the last six years? If so, provide history:

7. Does the plan use target date funds? If so, are they index or active funds?

8. When was your last Target Date Suite RFP? 1-5 years: ____ More than 5 years: ____ Not sure: ____

9. When was your last Core Fund Menu RFP (including Stable Value) (Core is all non-Target Date options)?
1-5 years: ____ More than 5 years: ____ Not sure: ____

10. Does the plan include company stock or any proprietary plan investments that are affiliated with the plan sponsor or any subsidiary or affiliated entity?

11. Do you offer any investments without any track record of performance, or less than three years of performance?

12. Do you use an outside consultant to review the investments to help ensure that they are appropriate? If so, please identify your investment consultant, and whether they are hired as a 3(21) or 3(38) fiduciary:

13. Does the plan include any investment options offered by the plan's investment consultant or any subsidiary or affiliated entity?

OTHER

1. Do your employment agreements contain a mandatory arbitration/class waiver provision for employment-related disputes?

2. Do your plan documents contain a mandatory arbitration/class action waiver provision?
If yes, please provide a copy of the provisions.

3. Have you received or are you aware of any inquiries or communications for any law firm regarding plan fees and expenses or the performance of plan investments? If so, please explain:

4. Are you aware of any online or social media solicitations of your employees to contact a law firm about their defined contribution plan fees or investments? If so, please explain:

REQUIRED ATTACHMENTS

- a) Most recent copies of the 408(b)(2) plan fee disclosure(s) [or similar document for non-ERISA plans] made to the plan sponsor. If your disclosure doesn't detail number of plan participants, plan assets by fund, fund expenses, any fund revenue sharing, credits back to the plan, and your recordkeeper's contracted recordkeeping fee (fixed dollar or basis points), please provide that data in a supplemental document. Please include additional disclosures if you have multiple plans or an unbundled custodial provider.
- b) Most recent 404(a)(5) fee disclosures
- c) Last independent Plan Benchmarking Report (not benchmarking data provided by your recordkeeper)
- d) Most recent Quarterly Plan Review (presented to the Committee) including investment and plan demographic attributes

SIGNATURE

Plan Sponsor Authorized Signature: _____

Print Name: _____

Title: _____

Date: _____

Email: _____

Phone: _____

ADDITIONAL COMMENTS

Please submit this application and all required attachments to:

Encore Fiduciary

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