RFP Fee Worksheet

UNM Hospitals 403(b) Plan

Please ensure quoted costs includes all services requested in the RFP and fees are based on:

- Revenue sharing is allocated back to participants who are invested in the account that generates the revenue sharing.
- Per-participant fee is charged to participants
- Information supplied to your firm via this RFP

Category	Proposed Fees	Assumptions	Vendor Comments
Client Specific Charges			
Future merger activity support (corporate actions)			
Regulatory plan provision changes			
Optional plan provision changes			
Investment fund changes			
Other services not detailed below (explain each charge)			
One-Time Implementation Fees			
Base implementation charge			
Set-up of conversion microsite			
Website and/or IVR, CSR set-up			
Participant loan conversion			
Implementation communication materials			
Programming work, including system programming to accommodate plan provisions			
Plan Sponsor user training			
Policies set-up (e.g., DRO qualification, loan, rollover, etc.)			
Customized data edits			
Initial enrollment meetings			
Other charges: specify			
Ongoing Annual Charges - Recordkeeping/Administration			
Annual plan sponsor account maintenance fee (base fee)			
Annual fee per eligible employee with an account balance (active & term)			
Annual fee per eligible employee without account balance			
Regulatory plan provision changes			
Optional plan provision changes			
Fund changes - assume two fund changes per year			
Attendance at Plan Sponsor meetings (specify frequency & deliverables)			
Travel to Plan Sponsor meetings			

Plan sponsor website			
Participant website			
Toll-free number - IVR / CSRs			
Language line or comparable services			
Ongoing Annual Charges - Compliance			
Minimum required distributions			
Qualification of a DRO			
Section 415 annual additions test			
Section 402(g) limit test			
Age 50 catch-up limit monitoring and recharacterization			
Preparation of withholding forms and necessary tax reporting forms			
Monitor excessive trading activities and enforce policy			
Beneficiary administration			
Trustee / Custodian - General			
Trustee Fees			
Wire transfer fees (payroll)			
Direct deposit of loans or withdrawals			
Other charges (please specify)			
Benefit Administration / Processing Fees			
Payroll processing (data transmission, feedback files, edits)			
Additional charge for excess payroll / data feeds and reverse feeds			
Section 404(a)(5) annual participant fee notices: With account balance			
Section 404(a)(5) annual participant fee notices: Without account balance			
Per lump sum distribution - termination			
Per age 70 1/2 distribution			
Per direct rollover (out of plan)			
Setup of a QDRO account			
1099 reporting			
Direct deposits for new loans, withdrawals, distributions			
Eligibility determination & tracking service			
Calculate non-elective contributions			
Calculate / track credited service and maintain vesting schedule			
Reinstate uncashed checks			
Auto rebalancing (at participant election)			
Find "unlocatable" participants			
Communication / Education / On-site Representative			
Annual fee for on-site dedicated representative			
Enrollment package / forms			

Quarterly participant statements - assume mailed statements for all participants			
Plan highlights			
Fund fact sheets			
Fund prospectuses			
Newsletters			
Posters			
Postcards			
Draft SPD			
Distribute SPD			
Live Webcasts - Customized for client			
Live Webcasts - Standard			
On demand Webcasts - Customized for client			
On demand Webcasts - Standard			
Group employee meetings (indicate the number included in your fees)			
Group employee meetings (indicate the cost per meeting above the number included in your fees)			
Travel for group communication meetings			
Materials Fees			
Mailing optional plan materials			
Postage			
Fulfillment			