



**SOLIDARITY PROTECTION GROUP**

a voluntary membership organization operating pursuant to the Liability Risk Retention Act of 1986 and whose principal office is:  
4323 Warren Street, NW, Washington, DC 20016-2437

**Defined Contribution Plan Questions**

- 1. Has there been any failure to timely transmit to the plan any participant contributions? Yes \_\_\_\_\_ No \_\_\_\_\_
- 2. What is the time period in which participant contributions are deposited to the plan?  
\_\_\_\_\_
- 3. Does the plan provide that all investment options are participant directed? Yes \_\_\_\_\_ No \_\_\_\_\_
- 4. Are there any loans by the plan listed in default classified during the year as uncollectible? Yes \_\_\_\_\_ No \_\_\_\_\_
- 5. Does the plan offer low-cost index fund options? Yes \_\_\_\_\_ No \_\_\_\_\_
- 6. Please give detailed explanations of the due diligence performed on the fees for the defined contribution plan, including a copy of all such performance reviews to review the performance of the investment choices in the plan:  
\_\_\_\_\_  
\_\_\_\_\_
- 7. Please describe the process for reviewing the reasonableness of the fees charged for each investment option including the last time fees were lowered:  
\_\_\_\_\_  
\_\_\_\_\_
- 8. Please describe the process for reviewing the reasonableness of participant fees charged by the recordkeeper (whether a flat fee or percentage of assets), and please provide the amounts charged to plan participants:  
\_\_\_\_\_  
\_\_\_\_\_
- 9. Please describe the terms of any revenue sharing agreements and whether any such agreement has been reviewed by an independent fiduciary:  
\_\_\_\_\_  
\_\_\_\_\_
- 10. Please describe your plan committee's process for evaluating the reasonableness of service provider fees and, in particular, your record keeper(s) including the frequency of evaluations and whether you involve outside consultants:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. Do you periodically benchmark and/or RFP your provider services and fees, and if so, please describe including when was the last RFP was done for a plan recordkeeper, and when will the next RFP be held:

Yes \_\_\_\_\_ No \_\_\_\_\_

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12. How many record keepers does the Plan have and on what basis do you pay your recordkeeper(s) (per capital, flat fee, assets under management/revenue sharing)? How much do you pay for recordkeepers on a per capita basis? Is there revenue sharing, and if so, please describe:

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13. Please describe your investment committee's process for evaluating the prudence and performance of plan investment options, including the frequency of evaluations and whether you involve outside consultants. Please explain whether you evaluate investment performance net of expense:

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14. Please indicate whether you have received any inquiries from the law firm of Schlichter, Bogard & Denton, The Levin Firm, or any other law firm, and if so, when. Please describe any follow up communications or actions re same.

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If not applicable please check: N/A \_\_\_\_\_

**REQUIRED ATTACHMENTS**

Please provide a copy of the 408(b) fee disclosures made to the plans and the 404 fee disclosures made to participants. Also, include copies of performance reviews analyzing performance of the investment choices in the plan.

**ADDITIONAL INFORMATION OR EXPLANATION**

**Please provide additional information or explanation, as needed.**

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