THE SPARK Institute, Inc.

Investment Provider Information for

Multivendor 403(b) Plan Participant Disclosure

Background

As service providers prepare to comply with the 404a-5 participant disclosure regulations for multivendor 403(b) plans it may be necessary to contact and coordinate with other investment providers. The SPARK Institute has developed this short Investment Provider Information Form in order to help record keepers and investment providers locate the appropriate contacts at other companies. The information form also includes some basic information about the investment provider's compliance approach and timing. The SPARK Institute will collect the information forms and provide them to record keepers and investment providers upon request. We request that 403(b) plan investment providers complete the form with respect to their disclosure efforts prior to receiving the other investment providers' forms.

Instructions for submitting a form

Please complete the information form on the following two pages and fax it to The SPARK Institute at 860-658-5068. A sample of a completed information form is included in this package. If you have any questions about the content of the information form or about submitting a form, please email 403bmultivendorform@sparkinstitute.org.

To request copies of completed forms

Send an email to 403bmultivendorform@sparkinstitute.org.

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Investment Provider Information for

Multivendor 403(b) Plan Participant Disclosure

Name of Investment Provider	
How should your company's name appear in plan sponsor and participant communications?	
Investment Provider Contact Information (Responsible person who other vendors can contact)	Name: Telephone: E-Mail Address:
Anticipated date that Investment Provider will have completed distribution of final 404a-5 disclosure materials to plan sponsors or other vendors.	Anticipated Date:
Content and Format of 404a-5 Disclosure Materials	As-of date for fund performance: Will your materials include a comparative chart? ☐ Yes ☐ No (please explain) Will your materials include general plan information? ☐ Yes ☐ No If you indicated that your materials will include both a comparative chart and general plan information, how will it be provided: ☐ Single document ☐ Multiple documents ☐ Not applicable

	Format (select all that apply): ☐ PDF ☐ Excel document ☐ Word document ☐ Other (please explain)
Website address with sample of Investment Provider materials and information	
Disclosure for participants in non-ERISA plans	☐ Yes, concurrently with participants in ERISA plans. ☐ Yes, but after disclosures are made to participants in ERISA plans (after August 30). ☐ No plans to do so at this time. ☐ No plans to do so at this time, but may in the future. ☐ Other (please explain)
Do you authorize The SPARK Institute to share this information with other vendors and investment providers upon request?	☐ Yes ☐ No
Current date	

Investment Provider Information for

Multi Vendor 403(b) Plan Participant Disclosure

Name of Investment Provider	Fidelity Investments
How should your company's name appear in plan sponsor and participant communications?	Fidelity Investments®
Investment Provider Contact Information (Responsible person who other vendors can contact)	Name: Caroline Deans Telephone: 401-292-3555 E-Mail Address: caroline.deans@fmr.com
Anticipated date that Investment Provider will have completed distribution of final 404a-5 disclosure materials to plan sponsors or other vendors.	Anticipated Date: May 15, 2012
Content and Format of 404a-5 Disclosure Materials	As-of date for fund performance: 12/31 Will your materials include a comparative chart? ☑ Yes ☐ No (please explain) Will your materials include general plan information? ☑ Yes ☐ No If you indicated that your materials will include both a comparative chart and general plan information, how will it be provided: ☑ Single document ☐ Multiple documents ☐ Not applicable

SAMPLE

	Format (select all that apply): ☑ PDF ☐ Excel document ☐ Word document ☐ Other (please explain)
Website address with sample of Investment Provider materials and information	http://dcda.fidelity.com/public/content/WPSFidelityPerspectives/pages/Fee_Disclosure
Disclosure for participants in non-ERISA plans	☐ Yes, concurrently with participants in ERISA plans. ☐ Yes, but after disclosures are made to participants in ERISA plans (after August 30). ☐ No plans to do so at this time. ☐ No plans to do so at this time, but may in the future. ☑ Other (please explain) TBD after SEC guidance
Do you authorize The SPARK Institute to share this information with other vendors and investment providers upon request?	☑ Yes ☐ No
Current date	April 23, 2012

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