MERCER

MARSH MERCER KROLL
GUY CARPENTER OLIVER WYMAN

Core Services Client Calendar™ – Defined Contribution Advisory Services

TARGET DATE	MERCER TEAM	COMPLETION DATE	SERVICE PROVIDER/VENDOR	CLIENT
Upon Hire	▪ Complete Advisory Services Agreement and BEQ form ▪ Deliver Form ADV ▪ Obtain signed vendor authorization letter ▪ Obtain vendor website access ▪ Gather plan documents, service agreements, 5500's ▪ Collect current investment policy statement, committee resolution, past 12 months' meeting minutes (if available)		▪ Activate website access for Mercer	▪ Provide Mercer with plan documents, service agreements, 5500's ▪ Provide Mercer with investment policy statement, committee resolution, and past 12 months' meeting minutes ▪ Sign Mercer Advisory Service Agreement and BEQ form

January/ February	▪ Annual Stewardship Meeting
	  ▪ Analyze vendor annual review including employee participation/utilization
	  ▪ Discuss goals and objectives for coming year
	  ▪ Create annual services plan: investment reviews, fiduciary process, employee education, and compliance
	▪ Prepare annual fee disclosure analysis
	▪ Assist client HR team, as needed
			▪ Provide annual plan review
			▪ Complete non-discrimination testing
			▪ Provide fee disclosure to Mercer
				▪ Complete vendor request for year-end compliance data by stated deadline
				▪ Check Compliance Calendar for important dates
				▪ Attend annual Stewardship Meeting with Mercer Team

February/March	▪ Prepare and present 4th quarter Investment and Plan Review to plan committee ▪ Assist client HR staff as needed		▪ Provide investment and plan review materials, as needed ▪ Complete deferral refund request by March 15th	▪ Authorize deferral refunds, if necessary ▪ Attend 4th quarter Investment Review ▪ Check Compliance Calendar for important dates
April	▪ Assist client HR staff, as needed			

MERCER

MARSH MERCER KROLL
GUY CARPENTER OLIVER WYMAN

Core Services Client Calendar™ – Defined Contribution Advisory Services

TARGET DATE	MERCER TEAM	COMPLETION DATE	SERVICE PROVIDER/VENDOR	CLIENT
May/June	▪ Prepare and present 1st Quarter Investment Review to plan committee ▪ Assist client HR staff, as needed		▪ Provide investment and plan review materials, as needed ▪ Provide auditor package/checklist	▪ Engage CPA firm to complete plan audit ▪ Attend 1st Quarter Investment Review ▪ Check Compliance Calendar for important dates
July	▪ Assist client HR staff, as needed		▪ Deliver signature-ready 5500 Form by July 1st	▪ File 5500 Form by July 31st ▪ Complete plan audit
August/September	▪ Prepare and present 2nd Quarter Investment and Plan Review to plan committee ▪ Assist client HR staff, as needed		▪ Provide investment and plan review materials, as needed	▪ Attend 2nd Quarter Investment Review
October	▪ Review Investment Policy Statement, suggest changes as needed ▪ Review Committee documentation, suggest changes as needed ▪ Assist client HR staff, as needed			• Provide input on Investment Policy Statement and Committee documentation review • Approve changes to IPS and Committee documentation, if needed
November/ December	▪ Review QDIA and Safe Harbor Notices, as appropriate ▪ Prepare and present 3rd Quarter Investment and Plan Review to plan committee ▪ Assist client HR staff, as needed		▪ Prepare draft QDIA and Safe Harbor notices, as appropriate ▪ Draft amendments, as needed, for any plan design changes ▪ Provide investment and plan review materials, as needed	• Send QDIA and Safe Harbor notices, as appropriate, by November 30th • Execute plan amendments, if needed, by December 31st for coming Plan Year • Attend 3rd Quarter Investment Review