

Solutions for Registered Investment Advisors



One-time fees ¹	Full service	Unbundled
Plan establishment (new plans)	\$0	\$0
Conversion (existing plans)	\$0	\$0

Annual base and per participant fees ²		
Participants	Full Service Fee ³	Unbundled Fee ³
1-20	\$3,950 ⁴	\$2,950 ⁴
21-100	\$3,950 plus \$70 for each participant over 20	\$2,950 plus \$70 for each participant over 20
100+	\$9,550 plus \$60 for each participant over 100	\$8,550 plus \$60 for each participant over 100

Fee illustration ⁵	Full service	Unbundled
Total plan participants	75	75
Annual base fee (includes the first 20 participants)	\$3,950	\$2,950
Annual participant fees (participants 21-75)	\$3,850	\$3,850
Total base and per participant fees	\$7,800	\$6,800
Total plan assets	\$4,000,000	\$4,000,000
Investment advisor fees (based on rate of 0.25% annually)	\$10,000	\$10,000
Shareholder servicing fee rate and 12b-1 rate ⁶	0.50% annually	0.50% annually
Total administrative fee credits from plan investments ⁷	\$19,000	\$19,000
Excess administrative fee credits available to pay other eligible plan expenses or to allocate to plan participants ⁸	\$1,200	\$2,200

¹ Assumes all conversion data is received electronically. Additional fees apply for the manual conversion of data.

² Assumes investment options are chosen from eligible fund list. Please contact an Ascensus retirement coordinator for a list of available funds.

³ Participant is defined as any individual with a balance in the plan whether active, inactive, or terminated.

⁴ Minimum annual fee regardless of total participants.

⁵ This fee illustration is provided solely as an example based on the assumptions set forth in the table. This is an estimate only and is not a guarantee of any particular results. Actual results for your plan may differ. Ascensus, Inc. is not a registered investment advisor or a broker-dealer and this illustration is not intended to be investment advice or a recommendation to purchase, sell, or hold any investment. Ascensus assumes no liability for use of this illustration by any third party.

⁶ This illustration assumes all plan investment options pay an asset-based rate of 0.50% annually in shareholder servicing fees and 12b-1 fees. Actual shareholder servicing fee rates are based upon the investments selected by the plan.

⁷ A third party (Paying Agent) will collect certain of these fees from the investment options and remit them to the plan's trustee or custodian for credit to the administrative fee credit account (AFCA). The Paying Agent will retain 5% of the amounts it collects in exchange for its services.

⁸ Excess administrative fee credits will be allocated based on written direction from the plan.

Please refer to the Recordkeeping Service Agreement in the Plan Establishment Kit for a complete fee list.

To learn more or to request a proposal, contact our retirement coordinators at 800-345-6363 or retirementsolutions@ascensus.com.

Ascensus may receive compensation from certain plan investment options (such as mutual funds) for services that Ascensus provides to those investment options, including processing the purchase and redemption of fund shares and participant-level fund recordkeeping. The compensation paid to Ascensus by those investment options is based either on a percentage of the average daily net asset value of shares invested in the fund, or on a fee per each participant that invests in the fund. This compensation is sometimes referred to as sub-transfer agency fees, shareholder service fees, revenue sharing, or other terms. The rate of compensation generally ranges from 0.05% to 0.35% (5 to 35 basis points) of average daily net asset value of shares invested in the fund, or \$2 to \$20 per participant that invests in the fund, although actual amounts received may differ depending on the investment options and plan services selected.

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