

ABC Company 401(k) Retirement Plan 2019/2020 Strategic Initiatives

Action		Responsible Party	Comments	Expected Completion	Open/Closed
1	Engage Lawley Retirement Advisors as fiduciary advisor for 401(k) Plan	ABC Company	Plan Sponsor to execute LRA advisory agreement and Recordkeeper to execute advisor change form	September 1, 2019	Open
2	401(k) Benchmark & Plan Design Analysis	LRA	Initial review of pertinent plan documents to provide the plan sponsor with a comprehensive analysis of the 401(k) program	September 15, 2019	Open
3	Committee Meeting to review plan benchmark and discuss 2019 objectives	ALL	LRA to provide/review an independent benchmark report	October 1, 2019	Open
4	LRA introductory meeting to plan participants	LRA	LRA to provide employee communication and meetings to review our role and service to all plan participants	November 1, 2019	Open
5	Fiduciary Training for 401(k) Committee	ALL	LRA to review prudent fiduciary governance procedures with the committee	December 1, 2019	Open
6	2019 401(k) Committee Fiduciary Review	ALL	LRA to lead and facilitate the annual committee meeting to review year-end plan trends, investment performance, and plan expenses	February 1, 2020	Open
7	Strategic meeting with plan sponsor and/or committee to discuss 2020 participant communication and engagement	ALL	LRA to discuss employee communication and education efforts including in person, web based, and our Financial Wellness program	February 1, 2020	Open
8	Fee Disclosure Compliance	ALL	Work with Recordkeeper and ABC Company to ensure fee disclosure documents are distributed to employees before the deadline	November 1, 2020	Open