



Participant QACA/QDIA Notice

Newkirk agrees to prepare and publish its QACA/QDIA Notice for the following Account. This form must be fully completed and the employee census data (in the proper format) must be received at Newkirk before the order will be processed.

Company Name: _____

Billing Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____

E-mail: _____

Company Representative: _____

Special Instructions: _____

The following pages outline the data required to fulfill your order. Data may be sent in Comma Separated (.csv) or Excel (.xls) format. The customer must provide the data as specified.

Newkirk agrees to use its best efforts to provide accurate copy in and processing of the Targeted Communications. If any error or omission does occur as a result of Newkirk's actions, Newkirk's liability under this agreement is strictly limited to replacement of the Targeted Communications at Newkirk's cost.

TERMS: NET 30 DAYS. 2% CHARGE PER MONTH (24% PER YEAR) ON BALANCES NOT PAID WITHIN 30 DAYS OF DATE OF INVOICE.

Accepted by: _____ Accepted by: _____

For Newkirk Products, Inc. ("Newkirk") For: _____

Dated: _____ Dated: _____

Shipping Information

- Please select one:
- Bulk Mail (fill out form below)
 - Home Mail (addresses from supplied participant file will be used)
 - In Envelopes
 - As Self-Mailers

Account Name: _____

Company Representative: _____

Shipping Address (No PO Boxes): _____

City: _____ State: _____ Zip: _____

15 Corporate Circle | Tel 518-862-3200 | E-mail info@newkirk.com
 Albany, NY 12203 | Fax 518-862-3399 | Website www.newkirk.com

Targeted Communications Setup Charges

- First Time Users: \$600 (check box if company is first time user)

Newkirk imposes a one-time setup charge for access to its NewkirkOne Targeted Communications. This one-time step allows for customization on the provider level and facilitates shipping, billing, etc. Once configured, a paper-based provider can convert to an Internet-based provider by paying the difference between the two services. *Internet-based providers pay a one-time setup fee of \$2,500. Contact your sales representative for details.*

SmartSingles Pricing	
Participants	Unit Cost
1 - 999	\$1.45
1,000 - 1,999	1.15
2,000 - 4,999	.95
5,000+	.85
\$300 minimum charge. Add \$150 for plan sponsor's logo.	
Prices above include: Data Preparation; Processing and Lasereng; #10 Double Window Envelope; Folding; Inserting and Mailing Preparation.	
Pricing does NOT include: Postage or Shipping and Handling.	

Self-Mailers Pricing	
Participants	Unit Cost
1 - 999	\$.50
1,000 - 1,999	.45
2,000 - 4,999	.40
5,000+	.35
\$175 minimum charge. Add \$150 for plan sponsor's logo.	
Prices above include: Data Preparation; Processing and Lasereng; Folding; Tabbing and Mailing.	
Pricing does NOT include: Postage or Shipping and Handling.	

OFFICE USE ONLY:	D:	C:	R:	I:	S:	C:
------------------	----	----	----	----	----	----

Participant File Format

File needs to be in Comma Separated (.csv) or Excel (.xls) format if sending to Newkirk.
File must be in Comma Separated (.csv) format if being uploaded to system directly.

Fields Needed:

Participant ID (must be unique to each participant)
Participant Last Name
Participant First Name
Participant Address 1
Participant Address 2*
Participant Address 3*
Participant City
Participant State
Participant Zip Code
Participant Birth Date
Participant Salary
Participant Marital Status*
Participant Exemptions*

* *Optional*

Formatting Guidelines

No special characters (i.e., \$, %, commas, hyphens, #, etc.).
Participant IDs should be numeric with no hyphens.
Birth dates should be mm/dd/yyyy.
Zip codes should be formatted in Excel file as 5 digits only.
Salary should be a numeric value with no \$ or commas.
Decimals are okay.

Sponsor Information

Short Name: _____

Long Name: _____

Abbreviation: _____
(optional)

Customer Number: _____
(optional)

First Name: _____ MI: _____ Last Name: _____

Title: _____

Address 1: _____

Address 2: _____

Address 3: _____

City: _____ State: _____ Zip: _____

E-mail: _____

Phone: _____ Fax: _____

Plan Information

Full Name of Plan: _____
(There is a 160-character maximum.)

Plan Number: _____
(There is a 20-digit maximum.)

Employee Contributions?

- Employee Elective Deferrals? Yes No
 - Percentage maximum amount _____ % of compensation.
 - Percentage Limit Range. The minimum _____ % and maximum _____ % of compensation an employee may defer.
 - The maximum allowed by law.
- Does the plan offer a Roth option? Yes No

Safe Harbor automatic enrollment plan? Yes No

- Automatic deferral percentage (new employees): _____ %
 - Automatic deferral percentage (current employees): _____ %
 - Minimum deferral percentage for employees deferring but at less than automatic: _____ %
- Employer match: 100% up to _____ % plus _____ % up to _____ %
- Nonelective Contribution: _____ %

Obtaining Plan Information

- VRU available? Yes No VRU phone number: _____
- Website available? Yes No Website address: _____
- Online enrollment available? Yes No
- CSR available? Yes No
CSR phone number: _____ CSR service days: _____ Hours: _____

QACA Information

Instructions for opting out of automatic enrollment:

Instructions for changing automatic deferrals:

Automatic deferral increase? Yes No

Automatic deferral increase percentage increment: _____ % (e.g., "1")

Automatic deferral increases up to percentage: _____ % (e.g., "6")

Automatic deferral increase will take place:

- Annually
- Semi-annually
- Quarterly
- Other _____

Instructions for opting out of automatic deferral increase:

Are QACA contributions 100% fully and immediately vested? Yes No

Qualified Default Investment Information

Default investment type: Managed account Balanced fund Target maturity fund

Default investment name (managed account or balanced fund): _____

Target maturity fund family name: _____

Target maturity fund name:

Target maturity date:

Default investment manager: _____

Default investment expense information:

Default investment fees, expenses, and/or restrictions on transfers:

Default investment information as of date: _____

Prospectus available? Yes No

Instructions for opting out of default investment:

Short-term default investment exists? Yes No

Short-term default investment name: _____