

**APPENDIX to §2550.408b-2(c) – Sample Guide to Initial Disclosures**

**ABC Service Provider, Inc. (ABC)**

**Guide to Services and Compensation**

**Prepared for the XYZ 401(k) Plan**

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The following is a guide to important information that you should consider in connection with the services to be provided by ABC to the XYZ 401(k) Plan.

Should you have any questions concerning this guide or the information provided to you concerning our services or compensation, please do not hesitate to contact [enter name of person and/or office] at [enter phone number and/or email address].

<b>Required Information</b>	<b>Location(s)</b>
Description of the services that ABC will provide to your Plan.	Master Service Agreement § 2.4, p. 1
A statement concerning the services that ABC will provide as [an ERISA fiduciary][a registered investment adviser].	Master Service Agreement § 2.6, p. 2
Compensation ABC will receive from your Plan ("direct" compensation).	Master Service Agreement § 3.2, p. 4
Compensation ABC will receive from other parties that are not related to ABC ("indirect" compensation").	Master Service Agreement § 3.3, p. 4  Stable Value Offering Agmt § 3.1, p. 4
Compensation that will be paid among ABC and related parties.	Master Service Agreement § 3.5, p. 6
Compensation ABC will receive if you terminate this service agreement.	Master Service Agreement § 9.2, p. 11
The cost to your Plan of recordkeeping services.	Master Service Agreement § 3.4, p. 5

Required Information	Location(s)
<p>Fees and Expenses relating to your Plan's investment options.</p> <p>*Total Annual Operating Expenses</p>	<p>(1) <u>Capital and Income Fund</u></p> <p>Trans. Fees: InvestCo Prospectus, Fund Summary, p. 2  TAOE:* InvestCo Prospectus, Fund Summary, p. 2</p> <p>(2) <u>International Stock Fund</u></p> <p>Trans. Fees: <a href="http://www.weblink/ABCProspInv2/trans.com">www.weblink/ABCProspInv2/trans.com</a>  TAOE: <a href="http://www.weblink/ABCProspInv2/taoe.com">www.weblink/ABCProspInv2/taoe.com</a></p> <p>(3) <u>Small Cap Fund</u></p> <p>Trans. Fees: <a href="http://www.ABCweblink/ProspInv3/trans.com">www.ABCweblink/ProspInv3/trans.com</a>  TAOE: <a href="http://www.weblink/ABCProspInv3/taoe.com">www.weblink/ABCProspInv3/taoe.com</a></p> <p>(4) <u>Bond Market Index Fund</u></p> <p>Trans. Fees: <a href="http://www.weblink/ABCProspInv4/trans.com">www.weblink/ABCProspInv4/trans.com</a>  TAOE: <a href="http://www.weblink/ABCProspInv4/taoe.com">www.weblink/ABCProspInv4/taoe.com</a></p> <p>(5) <u>Stable Value Fund</u></p> <p>Trans. Fees: Stable Value Offering Agmt, § 2.4, p. 3  TAOE: Stable Value Offering Agmt, § 2.3, p. 3</p> <p>(6) <u>Money Market Fund</u></p> <p>Trans. Fees: <a href="http://www.weblink/ABCProspInv6/trans.com">www.weblink/ABCProspInv6/trans.com</a>  TAOE: <a href="http://www.weblink/ABCProspInv6/taoe.com">www.weblink/ABCProspInv6/taoe.com</a></p>