

Indiana Public Employees' Deferred Compensation and Matching Plans Third-Party Recordkeeping Services

Notes: Previously posted responses are highlighted in yellow. Previously posted responses, that have been amended, are provided in red font.

	Question	Answer
1	In keeping with the terms of the RFP, would an affiliate of a recordkeeper be eligible to receive and retain compensation earned as the wrap provider for the Indiana Stable Value Fund?	The selected recordkeeper will not have proprietary products (e.g., investment management and wrap management) in the Plan. Existing Indiana Stable Value Fund wrap providers and their affiliates are eligible to respond to the RFP; however, their proprietary products will need to be addressed during selection process. Please note you are to confirm that your fee proposal assumes the current investment options, as part of your response to Question #5 within Attachment C.
2	Our firm currently is one of two wrap providers of the Indiana Stable Value Fund. In respect to AOS' stated goal and objective of maintaining independence in fact and appearance between the TPA and the investment managers and business partners associated with the Plan as well as Minimum Qualifications and Fee Proposal Compensation Restrictions, would our firm be disqualified from being selected the Plan's TPA?	The selected recordkeeper will not have proprietary products (e.g., investment management and wrap management) in the Plan. Existing Indiana Stable Value Fund wrap providers and their affiliates are eligible to respond to the RFP; however, their proprietary products will need to be addressed during selection process. Please note you are to confirm that your fee proposal assumes the current investment options, as part of your response to Question #5 within Attachment C.
3	Of the 7 dedicated field representatives being requested, how many does Indiana prefer are licensed administrative support personnel?	The State of Indiana seeks the respondent's guidance on how best their field representatives can meet the educational and informational needs of participants for success.
4	With respect to the custom investment options available under the plan, are custom fund one-pagers required? If so, will the respondent selected be responsible for creation and maintenance of said fund one-pagers? Please provide a sample of each existing custom fund one pager.	The respondent is expected to provide a fact sheet for the custom funds. Our current fact sheets can be found here: https://hoosierstart.empower-retirement.com/participant/#!/articles/IndianaWR/investmentInformation
5	Are there any transfer restrictions and/or charges that will apply upon termination of the current TPA's contract?	No.
6	Exhibit A: The sum of the account balances shown on page A-4 is ~\$251.6 million less than the market value of the investments shown of page A-8. Please clarify the reason for the variance and which amount reflects the balance under all four plans.	The difference is attributable to active participant balances for individuals not contributing, while the total number included both active contributing and non-contributing. We have added a new row to page # A4 with amounts for Active participants irrespective of contributing or not (highlighted in yellow). The dollar amounts are now approximately same on page A4 and A8 with a difference of \$349 which would purely be due to the timing of retrieving the data. See Amended Exhibit A.
7	Exhibit A: What does the total hardship account balance under the 457(b) plans represent?	These are the total Plan assets approved and distributed to participants under the unforeseen emergency withdrawal provision.
8	Please provide the number of unique participants across the State Employees' plans. Please also provide the number of unique participants across the Local Subdivision Employee plans.	There are approximately 59,000 unique participants across all Plans. State Employee 457(b) Plan (98972-01): Approximately 52,000. Local Subdivision Employee 457(b) Plan (98972-03): Approximately 6,700.
9	Please describe the makeup of the local service office with your existing TPA. How many field representatives are currently providing services?	There are nine individuals dedicated to the State of Indiana Plans. There are six field representatives and a Relationship Manager. There are two administrative support staff.
10	How many administrative or clerical personnel work in the local office?	There are two administrative personnel in the local office (currently working remotely due to COVID restrictions).

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11	Is everyone in the local office fully dedicated to the State of Indiana plans?	Yes.
12	In considering the demographics of your employee population at different locations and the different elements of an education campaign, to what extent does AOS currently utilize digital or email communications from the current provider in addition to more traditional onsite meetings and print materials?	The State of Indiana utilizes customized electronic communications regularly to engage participants.
13	Is there a specific requirement or goal to utilize the services of an IVOSB in performance of the contract?	No.
14	Does the existing TPA currently utilize an IVOSB firm in the performance of the contract? If so, what service(s) does the IVOSB perform?	No.
15	Is there a specific requirement or goal to utilize the services of a MBE/WBE in performance of the contract?	No.
16	Does the existing TPA currently utilize a MBE/WBE firm in the performance of the contract? If so, what service(s) does the MBE/WBE perform?	No.
17	If Attachment A-1 would apply to this Professional Services Contract, please provide the attachment or a link to where it can be found	Attachment A-1 is not applicable.
18	Are the plan documents codified? If so, please provide citation as to where the documents can be located. If not, please provide plan documents (including adoption agreements, base plan documents, summary plan descriptions, etc.).	Certain terms and conditions of the plans are codified at IC 5 10-1.1, but the actual plans are memorialized in plan documents located at: https://www.in.gov/auditor/hoosierstart/1450.htm .
19	Are there any plan design changes being contemplated as part of the search (e.g., adoption of loan provisions)?	Not currently, but the AOS is open to suggestions.
20	Exhibit A: What are in-service withdrawals ex-hardships under the 457(b) plan? Are these what is also known as de minimus withdrawals available under 457(b) deferred compensation plans?	The amount reported in this section includes "Voluntary De Minimus" distributions, as well as age 70 1/2 in-service distributions.
21	For the Local Subdivision plans what percentage of the participating employers have elected to allow Roth elective deferrals?	47% local subdivisions have elected to use Roth.
22	For the local subdivision 401(a) plan what percentage of the participating employers have adopted a vesting schedule other than 100% immediate? What is the range of vesting schedules adopted (e.g., description of each).	The State of Indiana Public Employees Deferred Compensation Matching Plan allows 100% immediate vesting only.
23	Has the State contracted with a provider of the life contingent annuities available under the plans? How many annuities were elected under the plans in each of the past three years (2019, 2018, and 2017)?	The Plan currently does not offer annuities.
24	Does a default enrollment provision apply to the 401(a) plans or are employees required to voluntarily enroll in the 401(a) plan in order to receive the employer matching contributions?	State employees are auto-enrolled at 2%, or at least \$15 per pay period, to receive the \$15 match. If an employee opts out of the Plan, there would be no match provided. If the 2% auto-enroll contribution doesn't meet the \$15 minimum contribution threshold, the AOS payroll system increases the contribution amount to meet the minimum \$15 limit.

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25	What are some operational challenges AOS is seeking to address? Are there manual processes currently in place?	The AOS is currently transitioning from a legacy payroll system to PeopleSoft HCM 9.2. This transition should allow efficiencies and movement away from current manual processes for Auto Enrollment notifications. Today contribution limits have to be manually tracked and stopped when contribution limits are met. Going forward, the PeopleSoft 9.2 system will allow AOS to apply rules to automatically stop contributions when standard and catchup limits are met. The TPA would need to provide participant information for those that are eligible for special catch up limits.
26	Are there any additional administrative tasks that AOS would like for the provider to assume?	No.
27	Please provide the URL address for the existing custom website for the plan.	https://hoosierstart.empower-retirement.com/participant/#/login
28	What number or percentage of existing participants with an account balance receive regular communications (e.g., quarterly statements and confirmation statements) exclusively through e-delivery methods?	Approximately 20,000.
29	Is e-delivery the default method of providing participants with quarterly statements?	Yes. E-delivery is the default method of providing quarterly statements.
30	Are combined 457(b) / 401(a) participant quarterly statements required or preferred?	Combined statements are currently offered and the preference is to remain combined.
31	Will participants' current email addresses be provided by the existing TPA or the AOS?	The existing email, within an account, will be provided.
32	In lieu of paper copy submission, would electronic submission be acceptable due to the current pandemic situation?	Yes. As outlined on page 2 of the RFP, please contact Staci Schneider, the RFP Coordinator, if you are unable to meet the hard copy requirements given COVID.
33	You state that you want bound copies and electronic copies sent to several individuals as part of the submittal process. Does "electronic copy" on this context mean an e-mail or the inclusion of an electronic copy on a thumb drive in the hard copy submittal package?	An email is suitable for an electronic copy. Zip files are also acceptable.
34	If we are not submitting a redacted version of our proposal, can we merely note that in our transmittal letter or must another level of notification be made?	There is no need to mention that a redacted version will not be submitted. Please see section 1.6, of the RFP, and Attachment E for guidelines.
35	In Section 3.2, you state that under Tab 2 we must provide a statement regarding how we meet each of the minimum qualification laid out in 3.1. After that, you state, "Following this statement, please provide the answers to the questions asked in Section 3.2." We do not see any additional questions in Section 3.2. To what are you referring?	Please disregard: "Following this statement, please provide the answers to the questions asked in Section 3.2."
36	Where is the current recordkeeper's in state service office located? Would the new plan recordkeeper be able to take over that space? What is the current monthly rent for this space?	101 West Ohio St, Suite 760, Indianapolis, IN 46204. This location is under the current recordkeeper's lease.
37	Does the State utilize industry standard file layouts (e.g., SPARK)?	No. The AOS is currently in the process of transitioning to PeopleSoft HCM 9.2.
38	Please provide a current sample of monthly reports.	Sample monthly reports are not available at this time.
39	Does the "administrator/recordkeeping expenses" need to be charged to participant accounts monthly or quarterly? (RFP – Objectives p3.)	Quarterly.
40	Will you consider paperless enrollment? (Scope of Services 1.4.6 notes the use of forms)	The State currently utilizes auto-enrollment. Paperless enrollment is acceptable for local subdivisions; however, not every employer has been set up for paperless enrollment.

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41	For the Local Subdivision Plans, will each participating employer remit contributions directly to the TPA? What are the method(s) of submission currently being utilized?	Yes. All participating political subdivisions remit payroll contributions directly to the TPA. 86% of the participating political subdivisions remit payroll files electronically via the TPA's secure website. 14% of the participating political subdivisions remit manual (paper) payrolls. Payroll funding includes ACH and check.
42	Please provide the number of unique participants across all plans.	There are approximately 59,000 unique participants across all Plans.
43	Please provide call center utilization data for the previous year (2019) - for example volume of calls to the toll free number, number of website visits, web chat volume.	Volume of calls in 2019 was 14,687. The web stats for 2019: 1Q2019 – 15,941 uniques 2Q2019 – 14,528 uniques 3Q2019 – 14,806 uniques 4Q2019 - 18,050 uniques The Plans do not have web chat.
44	For the two State employee plans, are contributions remitted from a centralized location or will each of the 17 sub-divisions remit contributions individually	The State submits one centralized payroll. The sub-divisions remit contributions separately.
45	For the State Employees' Plans, please provide the number of payroll submissions per year and the frequency. If a payroll provider is utilized, please identify the firm used.	There is not a payroll provider that is utilized. There are 26 State submissions for the State Employee 457(b) Plan (98972-01) and 54 submissions for the Local Subdivision Employee 457(b) Plan (98972-03).
46	For the Local Subdivision Employee Plans, please provide the total number of payroll submissions in 2019.	In 2019, there were 6,772 payroll submissions for participating political subdivisions for the 98972-03 Plan, and 1,147 submissions for the 98972-04 Plan.
47	Does the Indiana Auditor of State (AOS) as the Administrator calculate employer matching contributions or will the TPA be responsible for this? What is the frequency of calculation required?	The Plan has a flat dollar \$15 match. AOS receives a file from the TPA that includes all participant starts, stops and changes to their account including the flat dollar amount (\$15 match). If the employee contribution is less than or not equal to \$15, the AOS payroll system will adjust the employee's 457 contribution to meet the minimum \$15. Frequency of this file is bi-weekly. There are minimal off-cycle payments that may result in the TPA receiving a 457 and 401(a) contribution for those individuals. This occurs when an adjustment has to be made to the employee's pay.
48	How many employers submit payroll files?	328
49	How many different file layouts are used for submitting payroll and demographic changes?	There is no standard plan specific file format for Indiana. When separate pay centers are established, the current recordkeeper works with each employer to create a file layout depending on their payroll entity. The file is mapped into the recordkeeper's system. There are approximately 200 file layouts.
50	How many different submittal methods are used?	86% of the participating political subdivisions remit payroll files electronically via the TPA's secure website. 14% of the participating political subdivisions remit manual (paper) payrolls. Payroll funding includes ACH and check.
51	Is there an available list of payroll providers currently used by the Local Subdivision Employee Plans?	No.
52	Provide more clarification on separate participant accounts for assets that are rolled over into the Plan from a qualified plan. Would the state be open to different sources within an account to segregate the assets?	Assets that are rolled into the Plans are held within the same participant account, but are noted as a separate money source, and can be seen as such on participant statements.

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53	Are employees of counties, cities, towns or other political subdivisions allowed to make online deferral changes with the recordkeeper? (Plan Highlights – contribution changes)	Yes, they are permitted make online deferral changes if the local division is set up to do so. A current project is underway and implemented in phases to add more plans onto this format.
54	How quickly is performance for the three Custom Funds reported to the recordkeeper at quarter-end.	The performance, of the Indiana Inflation-Linked Fixed Income and Indiana Flexible Bond Funds, is calculated by the current recordkeeper. MetLife is responsible for the daily NAV of the Indiana Stable Value Fund. Performance is calculated daily for all of the Custom Funds.
55	For the CITs included in the current investment line-up, please provide the following: -CUSIP -Who provides the daily prices? -How the investment is traded and settled -NSCC? Manually via fax and wire? -Who provides performance? -Who provides fund fact sheets?	Please see the response to Question 82 for the Plan's CUSIPs. The performance, of the Indiana Inflation-Linked Fixed Income and Indiana Flexible Bond Funds, is calculated by the current recordkeeper. MetLife is responsible for the daily NAV of the Indiana Stable Value Fund. Performance is calculated daily for all of the Custom Funds. The Indiana Inflation-Linked Fixed Income and Indiana Flexible Bond Funds are traded through the NSCC. The Indiana Stable Value Fund is traded and settled manually via fax and wire. The current recordkeeper provides daily performance and fact sheets.
56	For the Indiana Flexible Bond Fund custom option, please provide the following: -Is this custom option currently being unitized? If so, who is responsible for the unitization? -Who provides the fund performance? -Who provides the fund fact sheets?	Yes, the custom fund is being unitized. Empower, the current recordkeeper, provides the fund performance. The respondent is expected to provide fact sheets for the custom funds. Our current fact sheets can be found here: https://hoosierstart.empower-retirement.com/participant/#/articles/IndianaWR/investmentInformation .
57	For the Indiana Inflation-Linked Bond custom option, please provide the following: -For the underlying CIT: •Please provide the CUSIP for the 100% State Street U.S. Inflation Protected Bond Index (CIT) •Who provides the daily prices for the underlying CIT? •How is the underlying CIT being traded and settled? •Who provides the fund performance? •Who provides the fund fact sheets? -Is this custom option currently being unitized? If so, who is responsible for the unitization? -Who provides the fund performance for the custom option? -Who provides the fund fact sheets for the custom option?	The Indiana Inflation-Linked Bond Fund's underlying CUSIP is 85744A653. State Street provides the daily price. The CIT is traded and settled through the NSCC. Empower, the current recordkeeper, provides the Fund's performance and fact sheets. The Indiana Inflation-Linked Bond Fund is unitized by the current recordkeeper.

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58	<p>For the Indiana Stable Value Fund custom option, please provide the following: -For the underlying Separate Account (MetLife Core) and CIT (Fidelity MIP II) please provide the following: •CUSIP •Who provides the daily prices? •How the investment is traded and settled - NSCC? Manually via fax and wire? •Who provides performance? •Who provides fund fact sheets? -Since there are wrap providers, should we assume that this is offered at book value? •If so, who is responsible for the book value accounting? • If not, is a daily unitized price being calculated and who is responsible for it? Also, please explain where and how the wrap providers fit into this investment. -For this custom option: •Who provides performance? •Who provides fund fact sheets?</p>	<p>MetLife Core – Separately Managed Account, CUSIP is not applicable. Fidelity MIP II Class 3 – CUSIP 34199L970. MetLife is responsible for the daily NAV. The Indiana Stable Value Fund is traded and settled manually via fax and wire. The current recordkeeper provides the performance and fact sheets. The Indiana Stable Value Fund is offered at book value. MetLife is responsible for the book value accounting.</p>
59	<p>Please confirm the number of active and inactive participants for the local 457 plan. The breakdown provided on page 4 of Exhibit A shows 6,233 participants whereas the summary on page 2 shows 6,758 participants.</p>	<p>Please see Amended Exhibit A. The number of total active participants is 5264 and the number of total inactive participants is 1494 for a total of 6758.</p>
60	<p>Please confirm the total asset balance. The breakdown provided on page 4 adds up to \$1,181,397,568 but the investment detail shows a total of \$1,434,035,743.</p>	<p>The difference is attributable to active participant balances for individuals not contributing, while the total number included both active contributing and non-contributing. We have added a new row to page # A4 with amounts for Active participants irrespective of contributing or not (highlighted in yellow). The dollar amounts are now approximately same on page A4 and A8 with a difference of \$349 which would purely be due to the timing of retrieving the data. See Amended Exhibit A.</p>
61	<p>Can you please confirm the total number of unique participants with a balance (active + terminated) across all 457(b)/401(a) plans</p>	<p>There are approximately 59,000 unique participants across all Plans.</p>
62	<p>Please provide any MVA, CDSC, surrender charge or put period applicable to any Plan-level, Participant-level or fund-level assets.</p>	<p>There is a 12-month put provision applicable to the Indiana Stable Value Fund. Please note you are to confirm that your fee proposal assumes the current investment options, as part of your response to Question #5 within Attachment C.</p>
63	<p>Attachment C, Fee Proposal, Section 1.3. Can you please clarify the statement “assuming multiple payroll reporting?” Does each local participating employer submit a separate payroll, or are payrolls combined prior to submission to the current provider?</p>	<p>Yes, each local participating employer submits a separate payroll.</p>
64	<p>The RFP requires a minimum of 7 field representatives. Can you please clarify if the 7 includes a Plan Director (overseeing field representatives/day-to-day operations) or Relationship Manager (developing and delivering Plan-level goals in partnership with the State)? Or would these roles be required in addition to the 7 field representatives? Similarly, must the office staff be in addition to the 7 field representatives or are the representatives serving a dual purpose of field rep/administrative support?</p>	<p>The State of Indiana seeks the respondent's guidance on how best their field representatives can meet the educational and informational needs of participants for success and what additional support staff is necessary. Currently, there are six field representatives and a Relationship Manager. There are two administrative support staff.</p>

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65	Specific to the mandatory local office, would the State be open to leasing available space within a government building that can be occupied by the provider? If so, can you please provide an estimate of annual fees associated with rental and items included (e.g. office space, utilities, furnishings etc.)?	No. The mandatory Indiana office is under the current recordkeeper's lease.
66	Can you please provide the % of participants currently enrolled in e-delivery of statements/notifications?	Electronic Statement Delivery: 88% Electronic Notification Delivery: 13%
67	Regarding the Indiana Stable Value Fund: Who creates the price for this fund today? Is the awarded recordkeeper expected to create the price for the fund going forward? How often is a price struck? Do any of the underlying investments have any liquidity/trading restrictions or pricing restrictions?	MetLife is responsible for the daily NAV. The Indiana Stable Value Fund is traded and settled manually via fax and wire. The current recordkeeper provides the performance and fact sheets. The Indiana Stable Value Fund is offered at book value. MetLife is responsible for the book value accounting. There is a 12-month put provision applicable, to the Indiana Stable Value Fund, with the Fidelity Managed Income II Fund.
68	What are the quarterly and monthly reporting needs of the State?	Quarterly reporting needs include Plan market value information, asset flows, participant figures and performance. Monthly reports and/or meetings with the AOS would include updates on items, such as, but not limited to: operational updates, field representatives' reports, customer service statistics and/or issues, and marketing materials.
69	Do the Local employers need individual reporting on their participant's activities? Does the State need individual reporting by each individual employer?	Individual reporting is needed for annual audit purposes.
70	Are there features that a local employer can choose to allow for their participants? Examples, Roth contributions, Managed Accounts, SDO? Or are all features of the State plan available for all state and local employees?	Local participating employers have the option of allowing employees to make Roth deferrals or not. Local participating employers also have the option to make matching contributions, non-matching employer contributions, both or neither. Those contributions can be made either as a percentage of an employee's compensation or in a fixed dollar amount. Local participating employers are allowed to establish allocation conditions for those contributions. Local participating employers are allowed to establish classes of employees eligible for those contributions and to establish waiting periods for those contributions. Local participating employers are allowed to establish weekly, bi-weekly, semi-monthly or monthly payroll periods for remitting employee and employer contributions.
71	Do each of the local employers send in the payroll individually or is it centralized by the State and sent to the recordkeeper?	Each local submits separately.
72	Can we get detailed information regarding the auto enroll/auto escalate feature? Such as initial contribution percentages, any caps in contributions, annual increases and any caps on those?	Auto enroll is at \$15, or 2% of an individual's bi-weekly salary, or whichever is greater. Auto escalation occurs on an individual's anniversary hire date, for five years, at 0.5% of their bi-weekly salary, culminating in a 4.5% contribution rate after five years. Any participant contribution change will result in the termination of the auto escalation feature.
73	What is the legal structure of the Indiana Stable Value Fund?	Custom Fund structure: 60% MetLife Separate Account; 30% Fidelity MIP II Class 3; and 10% DGCXX.
74	How does this fund get valued and traded today? Who strikes the daily NAV today and will that process remain in place after transition?	MetLife is responsible for the daily NAV. The process would remain the same after the transition.

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75	What role does the current record keeper play in administering this fund?	The current recordkeeper manages and distributes daily participant activity and instructs cash movements related to the Custody account. The recordkeeper is also responsible for performance and fact sheets.
76	What would the Third Party Administrator's role be in administering this fund?	The same as the current recordkeeper.
77	Will you please confirm if there are any legacy assets? If so, what is the expectation for recordkeeping these assets if a new provider is selected?	Not applicable. Please note you are to confirm that your fee proposal assumes the current investment options, as part of your response to Question #5 within Attachment C.
78	Is the State currently sharing full data files?	Yes.
79	Does the State currently utilize online enrollment?	Yes. The State Plan has automatic enrollment; however, individuals who were not participating prior to the adoption of automatic enrollment in 2007, and who wish to enroll now, can do this online. If an individual opted out of automatic enrollment and changes their mind later, they can enroll online.
80	Will you please provide a breakdown of total assets by plan?	Please refer to the Amended Exhibit A.
81	When adding the total account balances across all plans for both active and terminated participants, the total assets amounts for each plan provided on page A-4 of Exhibit A equal a total of \$1,181,397,568. However, the total asset breakdown by fund provided on page A-8 of Exhibit A provides for total assets of \$1,434,035,739 – will you please point to where we can reconcile the difference of \$252,638,171 or confirm the correct number of total assets that should be assumed when responding to this RFP?	The difference is attributable to active participant balances for individuals not contributing, while the total number included both active contributing and non-contributing. We have added a new row to page # A4 with amounts for Active participants irrespective of contributing or not (highlighted in yellow). The dollar amounts are now approximately same on page A4 and A8 with a difference of \$349 which would purely be due to the timing of retrieving the data. See Amended Exhibit A.

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82	Please provide cusips for all investments where applicable.	<p>State St Target Ret 2065 SL CI V: 857480420 State St Target Ret 2060 SL CI V: 857480578 State St Target Ret 2055 SL CI V: 857480586 State St Target Ret 2050 SL CI V: 857480594 State St Target Ret 2045 SL CI V: 857480610 State St Target Ret 2040 SL CI V: 857480628 State St Target Ret 2035 SL CI V: 857480636 State St Target Ret 2030 SL CI V: 857480644 State St Target Ret 2025 SL CI V: 857480651 State St Target Ret 2020 SL CI V: 857480669 State St Target Ret Income SL CI V: 857480560 State St S&P 500 Indx SL CI II: 857444624 Vanguard FTSE Social Index Instl: 921910402 BNYM Mellon NSL US Dynamic LargCp Val II: 064234313 T. Rowe Price Blue Chip Growth Tr-T2: 87279U203 MFS Mid Cap Value R3: 55273W574 Vanguard Capital Opportunity Adm: 922038500 State St Russell Small/Mid Idx SL CI II: 857480552 Fidelity Low-Priced Stock: 316345305 Fidelity Diversified International Fund: 315910802 American Funds EuroPacific Gr R6: 298706821 Indiana Flexible Bond Fund-Reams: 14214M724 Indiana Flexible Bond Fund-PIMCO: 72201M487 State of Indiana Inflation-Linked Bond: State Street U.S. Protected Bond Index: 85744A653 PIMCO Total Return A: 693390445 Indiana Stable Value Fund: Fidelity MIP II Class 3: 34199L970 Indiana Stable Value Fund: MetLife: N/A--Separate Account Indiana Stable Value Fund: Dreyfus Government Cash Management: 262006208</p>
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