



102 Trade Zone Drive
West Columbia, SC 29170
803.354.5003

January 7, 2020

Important Time Sensitive
Response Requested

Re: Third-Party Administrator Questionnaire

Dear Third-Party Administrator:

Thank you in advance for completing and returning the attached Third-Party Administrator Questionnaire form from PenServ Plan Services, Inc. ("PenServ") the new record keeper of Foresters Financial 403(b) and 457(b) retirement plans effective January 22, 2020. In an effort to facilitate the transition, we have attached a fillable PDF questionnaire form requesting various contact information, disclosure of data exchange and payment methods from all third-party administrators.

Please complete and return the attached questionnaire form via email to team60@penserv.com as soon as possible, no later than Friday, January 17, 2020. PenServ will send a follow-up communication via secure email once the form is received in good order.

Should you have any questions or comments regarding the completion of the questionnaire please contact Team 60 via email or by phone, (803) 354-5003.

Sincerely,

PenServ Plan Services, Inc.
Team 60
(803) 354-5003
team60@penserv.com



Please Return Completed
 Questionnaire No Later Than
 Friday, January 17, 2020 to
 team60@penserv.com

THIRD-PARTY ADMINISTRATOR
 QUESTIONNAIRE

TPA Name			
Address		City	State Zip
Primary Contact Name		Title	
Phone	Fax	Email Address	

FUNCTIONAL CONTACTS

Below is a list of the processes relating to the processing of Plan transactions to be received by PenServ. Please provide a list of the specific individuals assigned to each function to ensure communication is directed to the correct individual.

FUNCTION	CONTACT	PHONE	EMAIL
Relationship Management General questions relating to day to day functions.			
Contributions Processing Including any questions regarding the information received in an incoming contribution file, transfer of contribution amounts			
Distribution Authorizations			
Technology Items relating to SFTP file formats, details of server connectivity and firewalls, data encryption, SPARK data exchange and other data formats.			
Billing Invoices, payments, procedures			
Compliance Questions relating to SOC audit and procedures			
Other List any other functional areas within your organization and the related contact			

DATA EXCHANGE

PenServ is establishing the process for receipt and delivery of data relating to the Plans for which you are acting as TPA. PenServ generally utilizes the most recent version of the standard SPARK formats, however, we are attempting to minimize changes to the process currently in place with Foresters.

Incoming Contribution Files (To PenServ)	<p>PREFERRED DATA SHARING METHOD:</p> <p><input type="checkbox"/> Standard SPARK Format for Electronic Transmission <input type="checkbox"/> 1.0 <input type="checkbox"/> 2.0</p> <p><input type="checkbox"/> CSV Format <input type="checkbox"/> Excel Format <input type="checkbox"/> Other File Format (Please Attach Copy of File Format, including Naming Conventions, Header Format, Fixed File Length (If Applicable) and delimited information)</p> <p><input type="checkbox"/> SFTP File Push <input type="text"/></p> <p><input type="checkbox"/> What day(s) and time(s) do you transmit Contribution Files? <input type="text"/></p> <p>ALTERNATIVE DATA SHARING METHODS:</p> <p><input type="checkbox"/> Download File from TPA Website <input type="text"/></p> <p><input type="checkbox"/> Paper <input type="checkbox"/> Secure Email <input type="checkbox"/> Fax <input type="checkbox"/> Overnight <input type="checkbox"/> Regular US Mail</p> <p><input type="checkbox"/> Other <input type="text"/></p>
Aggregator Files (From PenServ)	<p><input type="checkbox"/> Standard SPARK Format Version: Please provide instructions for submitting data files to the TPA/Aggregator system. <input type="text"/></p>
Transfer of Funds	<p>PREFERRED TRANSFER OF FUNDS:</p> <p><input type="checkbox"/> Wire <input type="checkbox"/> ACH Same Day as File <input type="checkbox"/> ACH Next Day</p> <p><input type="checkbox"/> What day(s) and times do you transmit Wire or ACH transactions? <input type="text"/></p> <p>ALTERNATIVE TRANSFER OF FUNDS:</p> <p><input type="checkbox"/> Check <input type="checkbox"/> Overnight <input type="checkbox"/> Regular US Mail</p>

PLEASE ADD ADDITIONAL PAGES AS NECESSARY

Additional Information

- **Wiring Instructions and access to SFTP Server.**
 - The account number and instructions for the transfer of funds electronically will be provided in a secure email to the designated individual once this form is received.
 - Once this information is returned to PenServ, a representative of our Security Staff will contact the designated individual with connectivity information to the PenServ SFTP Server. Access information will be transmitted in a series of secure emails to the designated individual at the Technology email address provided in these documents.

- **Transmitting VENDOR Aggregator Files to TPA**
 - Files in the most current SPARK file format will be generated on a weekly basis and transmitted each Tuesday morning or on the next business day, where Tuesday is an official holiday.
 - Files will be pushed to the SFTP server designated in this Questionnaire.
 - PenServ will utilize the same formats and naming conventions as the data provided by Foresters Financial Services, formerly First Investors Funds.

For any further information please contact:

Team 60
PenServ Plan Services, Inc.

Phone: 803.354.5003
Email: team60@penserv.com

Please Return Completed Questionnaire No Later Than Friday, January 17, 2020 to team60@penserv.com