

Plan Investments Report

ICMA-RC makes available to plan sponsors a Plan Investments Report generated by UpTick Data Technologies, Inc. (“UpTick”). The report shows how funds have performed measured against certain Morningstar, Inc. metrics¹, and can be used by plan sponsors to evaluate funds made available by their retirement plan.²

This report shows how well funds meet up to 12 Morningstar criteria chosen by the plan sponsor from a universe of more than 70 alternatives. Among other things, the report package includes:

- An executive summary depicting the plan’s fund lineup by asset category;
- A review of each fund’s success in meeting the plan’s established criteria;
- Detail depicting each fund’s performance vs. the plan sponsor’s established metric;
- Overall, three-year, five-year and ten-year Morningstar ratings of each fund;
- Fund, benchmark and peer category performance
- Fund and benchmark 3-year risk measures: standard deviation, beta, alpha, R Squared and Sharpe Ratio;
- Fund fees and expenses, including the net expense ratio and whether redemption fees may apply;
- Fund profiles; and
- A glossary of terms

Plan Investments Report are generated by UpTick’s PlanXtra³ automated plan monitoring and reporting system. Plan sponsors complete a form providing instructions to UpTick on the available Morningstar metrics they want in the report. ICMA-RC enters the plan sponsor’s instructions into PlanXtra and delivers the resulting report generated by PlanXtra to the plan sponsor quarterly. The plan sponsor may change the metrics measured in the report at any time.

Neither ICMA-RC nor UpTick are providing investment advice to the plan sponsor or assume any responsibility for the investment options selected by the plan sponsor for their retirement plan. The information presented in the Plan Investments Review Report is based on publicly available information and is not a recommendation that any fund or other investment option be retained or removed from the retirement plan lineup.

ICMA-RC’s role with respect to the Plan Investments Report is to provide administrative and clerical support by serving as the interface between the plan sponsor and UpTick. ICMA-RC associates will be able to provide factual information about the contents of the report, including the different metrics that can be used, but cannot advise the plan sponsor on the selection or retention of any particular funds or other investment options.

ICMA-RC assesses a quarterly fee of \$125 for this service, which includes the cost of UpTick generating the report and of ICMA-RC transmitting client instructions and distributing the reports. As economies of scale increase the cost of this report may be reduced.

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² Your plan may invest in VantageTrust Funds (“VT Funds”), each of which invests substantially all of their assets in a single mutual fund. In such cases, your plan does not invest directly in the Vantagepoint or third party mutual fund, but rather in these “underlying” funds through the funds of the VantageTrust. All data in this report related to VT Funds (including ticker symbols) is for the underlying mutual fund and is for reference only.

³ PlanXtra is a registered trademark of UpTick Data Technologies. www.uptickdata.com