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RareBooksClub. Paperback. Book Condition: New. This item is printed on demand. Paperback. 34 pages. Original publisher: Washington, D. C. : U. S. Govt. Accountability Office, 2009 OCLC Number: (OCoLC)547549827 Subject: 401(k) plans. Excerpt: . . . 20 21 22 either subtransfer agent fees, 12b-1 fees, or other administrative fees or 23 (2) through what are called revenue-sharing arrangements. As a result, fees and expenses are not paid from plan assets, but rather from the expenses of one of the plans investments (e. g. , a mutual funds operating expense, which is shared with the plans service provider). Labors New Reporting Requirements Remain Unclear to Sponsors, but Coordination with Other Regulatory Initiative May Help Even though Labor has provided guidance on their recent changes to the Sponsors Report That Form 5500 Schedule C, plan sponsors and service providers reported that Labors New Requirements they were unclear about Labors new reporting requirements. Specifically, Remain Unclear plan sponsors and experts told us that they have questions regarding the distinction between eligible and ineligible indirect compensation, and several said that they were unclear about what types of compensation qualified as EIC. A recent survey of service providers also reports 20 Subtransfer agent fees are paid by mutual funds to 401 (k) providers who perform the recordkeeping function for 401 (k) plans. They are charged against the mutual funds and thereby reduce the participants investment returns and, ultimately, their benefits. The payments are intended to support transfer agent and shareholder servicing activities by the recordkeeper. These activities include, for example, keeping track of share ownership at the plan and participant account level, and conveying information about the mutual fund to the plan and participants. 21 Fees related to marketing and compensating brokers to sell the fund are...

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