

Record(k)eeper ProSM Request for Proposal



Fax transmittal (cover sheet not required) to OppenheimerFunds Retirement Services at **1.212.323.4026**
 Please contact your Regional Retirement Representative with any questions at **1.800.734.5222, Option 2**

Today's date / / Number of copies needed

Date proposal needed / /

Please check one.

New plan Takeover plan

Please check one.

401(k) Money Purchase Pension New Comparability
 Profit-sharing Safe Harbor 401(k) Age-weighted

Financial Advisor Information

Name

Rep number

Broker-Dealer name

Street address

City State Zip

Phone number Fax number

Email

Employer Information

Company name

Number of participants

Type of entity C-corp Partnership S-corp
 Sole proprietorship Other

Is the company a subsidiary or is there a substantial common ownership of another business? Yes No

If the employer is a member of a controlled group of corporations, it may be required to offer the chosen plan to the employees of the related company or companies.

Investment Options—Fund Selection

Class of Shares

Oppenheimer Class N shares and Oppenheimer Class C shares are available. Choose only one class of shares for your plan:

Class N¹ (option 2) (0.50% annually² beginning immediately)
 Class C

A maximum of 15 investment options may be offered in the Record(k)eeper ProSM program. Would you like to offer:

Oppenheimer funds only
 Oppenheimer funds and outside funds³

Takeover Plan Information

Type of existing plan

Current value of plan assets \$

Trust services OFI Trust Company Self Trustee

Asset type(s) GICs Mutual funds Self-directed brokerage accounts
 Insurance Annuities
 Company stock Other

Are any of the assets illiquid? Yes No

If yes, please check all applicable boxes.

GICs Company stock
 Annuities Insurance Other

Are loans currently permitted? Yes No

Participant Services

Would you like to offer investment advice and guidance?

Yes No

Notes

For Internal Use Only

Territory number

SAMI code

1. Class N eligibility: Must meet one or both of the following criteria: 100 eligible employees or \$500,000 in plan assets.

2. Payable quarterly.

3. Outside fund eligibility:

Total Plan Assets

\$250,000-\$999,999 = two outside funds

\$1,000,000-\$4,999,999 = four outside funds

\$5,000,000+ = five outside funds

Up to three additional funds may be added for \$250 per fund per year.

