

University of New Mexico Hospitals

Note - If an item is not provided, please enter "N/A" in "Notes from Vendor" and leave statistical information blank	UNM Hospitals 401(a) Plan 08221	UNM Hospitals 457(b) Plan 71066	UNM Tax Sheltered Annuity Plan 88031	Notes from Vendor
Participant / Plan Statistics as of 12/31/2016				
Number of Eligible Employees	39	6538	6539	
Number of Employees Contributing	0	528	4784	
Participation Rate	0%	8%	73%	
Number of Active Participants with a Balance	38	687	6164	
Dollar value of Active Participants with a Balance	\$ 3,046,490	\$ 20,356,738	\$ 259,635,969	
Number of Terminated Participants with a Balance	9	169	1561	
Dollar value of Terminated Participants with a Balance	\$ 467,217	\$ 3,971,592	\$ 55,801,616	
Dollar value of all Participants with a Balance	\$ 3,513,707	\$ 24,356,593	\$ 317,678,791	
Number of Outstanding Loans	N/A	N/A	626	
Dollar value of Outstanding Loans	\$ -	\$ -	\$ 3,847,951.31	
Number of participants/employees reported on payroll file	37	632	6164	
Number of money sources with balances held in the plan	1	7	10	
Contribution Inflow for 2016 Plan Year- expressed as \$				
Basic Employer Contributions	\$ 557,000	\$ 19,024	\$ 14,382,853	
Employer Match Contributions	\$ -	\$ -	\$ -	
Employee Contributions	\$ -	\$ 3,069,941	\$ 18,651,172	
Employee Rollovers	\$ -	\$ -	\$ 90,483	
Loan Repayments (principal and interest)	\$ -	\$ -	\$ 1,195,310	
Other - Explain in Notes	\$ -	\$ 43,614	\$ 2,777,655	
Total	\$ 557,000	\$ 3,088,965	\$ 37,097,473	
Distribution Outflow for 2016 Plan Year - expressed as \$				
Inservice Distributions	\$ -	\$ 31,189	\$ 7,537,268	
Hardship Distributions (Processed)	\$ -	\$ -	\$ 286,137	
Final Lump Sum Distributions	\$ 485,763	\$ 2,217,920	\$ 16,157,561	
New Loans	N/A	N/A	\$ 1,450,454	
Other - Explain in Notes	\$ -	\$ -	\$ -	
Total	\$ 485,763	\$ 2,249,108	\$ 25,431,419	
Net Cash Flow- expressed as \$				
Net Cash Flow for 2016 Plan Year	\$ 71,237	\$ 839,857	\$ 11,666,054	
Participant Activity (Counts): For 2016 Plan Year				
New Enrollments	0	257	2,369	
Number of participants automatically enrolled	N/A	N/A	1161	
Rollovers into Plan	0	4	98	
Contract Exchanges into Plan	9	47	307	
In-Service Distributions	0	11	480	
Hardship Distributions (Processed)	0	0	63	
New Loans Processed	N/A	N/A	185	
Final Lump Sum Distributions (Full Payouts)	2	68	749	
Required Minimum Distributions (RMD)	0	3	14	
DROs Approved	1	0	6	
QDROs processed	1	0	6	
Employee Communication: For 2016 Plan Year				
% of employees who have elected to receive information electronically	100%	99.50%	99.50%	Percentages reported indicate the e-mail capture rate by Plan

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# of on-site employee meeting days provided - In Notes indicate the locations that on-site employee meeting days were provided for the last plan year	230	230	230	Fidelity provides a full time onsite Retirement Planner. The total number of days for the year was 230. The Retirement Planner meets with employees to assist them with any of the retirement plans they may be invested in and need assistance. There are 24 locations we visited during the year. All of the locations are in & around Albuquerque. 1) UNM Main 2) UNM Bradbury 3) SW Mesa Clinic 4) 4th Street Clinic 5) NE Heights Clinic 6) Westside Clinic 7) Lobocare 8) Carrie Tingley Hospital 9) OSIS 10) UNM Psychiatric Center 11) UNM Children's Psych 12) 1209 Clinic 13) UNM Digestive Center 14) Programs For Children & Adolescents 15) UNMH Plant Facilities 16) Family Health Clinic 17) Young Children's Healthcare 18) Outpatient Rehab 19) UNM Cancer Center—Financial Services 20) PSR 21) ACT Forensics 22) Eye Clinic on University 23) Atrisco Heritage Clinic 24) K Building - Fire Safety Systems, Financial Services
Number of enrollment kits mailed to participant homes	0	0	1365	
Provide the number of mailings sent by your firm during the 2016 plan year				
Quarterly Statements	12,846	537	12,846	403(b) and 401(a) statements are combined. Numbers reported are total for 2016
Auto-Enrollment notices	n/a	n/a	1305	
QDIA notices	42	1228	3723	
Payroll / Indicative Data, In-bound/Out-bound files - Please provide a brief description of each file in the "notes" section.				
# of payroll files received by your firm during the 2016 plan year	1	26	26	
Payroll file frequency	Annual	Bi-weekly	Bi-weekly	
# of indicative data files received by your firm during the 2016 plan year	0	26	26	
Indicative data file frequency	N/A	Bi-weekly	Bi-weekly	