



State of Rhode Island and Providence Plantations
Office of the General Treasurer

Seth Magaziner
General Treasurer

October 1, 2015

VIA EMAIL ONLY

[REDACTED]
Data Analyst
BrightScope, Inc.

RE: Public Records Request

Dear [REDACTED]

We write in response to your September 11, 2015 request for information pursuant to the Rhode Island Access to Public Records Act (APRA) which was received in our office on September 18, 2015. Your specific request is noted below along with our corresponding response:

Please consider this correspondence to be a formal Public Records Act Request for documentation regarding the defined contribution and deferred compensation retirement plan(s) offered to the employees of Employees' Retirement System of Rhode Island. Specifically, the following data is being requested:

- *Plan Investment Menu- also known as the Schedule of Assets or Investment Portfolio Summary. This includes the name of each individual fund, the amount of money (market value) in each fund, with tickers (if applicable), and investment fee information. Please have the assets as of 12/31/2014.*
- *Also, the asset manager or adviser for each fund listed in the plan (e.g. Fidelity Large Cap Value instead of just Large Cap Value Fund). If the fund has multiple sub-advisers, we will like the name of each sub-adviser and the allocation they are managing (e.g. institutional separate account). Moreover, please list the type of funds (mutual fund, separate account, collective trust, etc) in the plan.*
- *Please do not send the Comprehensive Annual Financial Report (CAFR) as a response. CAFRs only contain detail up to the asset allocation level and as such, will not have sufficient investment information to satisfy this request. I attached a basic example of what I am requesting for your reference.*

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- *List of Service Providers- specifically the Record keeper of the plan as well as any Advisors/Consultants (Institutional and Individual) of the plans. I am only looking for information pertaining to deferred compensation and defined contribution plans (including 401(k), 457, 401(a), 403(b), and 415(m)), so information on any defined benefit plans is not formally requested.*

Enclosed please find a document responsive to your request. If you contend you have been denied access to public records, pursuant to Rhode Island General Laws §38-2-8, you may appeal this decision to Jeffrey M. Padwa, General Counsel for the Rhode Island General Treasurer's Office, 50 Service Avenue, 2nd Floor, Warwick, RI 02886. You may also file a complaint with the Department of the Attorney General, 150 South Main Street, Providence, RI 02903 or the Rhode Island Superior Court of the county where the records are maintained.

Additional information regarding the Access to Public Records Act may be found at <http://www.riag.ri.gov/civil/opengovernment>.

Sincerely,

A handwritten signature in black ink, appearing to read 'Amanda D. Lucas', with a long horizontal flourish extending to the right.

Amanda D. Lucas
Public Records Officer