

Received

MAY 28 2019

WV Ethics Commission

# West Virginia Ethics Commission Disclosure of Interested Parties to Contracts

(Required by W. Va. Code § 6D-1-2)

Name of Contracting Business Entity: Great West Life & Annuity Insurance Co. Address: 8525 E. Orchard Road  
Greenwood Village CO, 80111

Name of Authorized Agent: \_\_\_\_\_ Address: \_\_\_\_\_

Contract Number: \_\_\_\_\_ Contract Description: \_\_\_\_\_

Governmental agency awarding contract: Consolidated Public Retirement Board

Check here if this is a Supplemental Disclosure

List the Names of Interested Parties to the contract which are known or reasonably anticipated by the contracting business entity for each category below (attach additional pages if necessary):

**1. Subcontractors or other entities performing work or service under the Contract**

Check here if none, otherwise list entity/individual names below.

- See Attached Excel Spreadsheet with representative list of affiliates and material data handlers.

**2. Any person or entity who owns 25% or more of contracting entity (not applicable to publicly traded entities)**

Check here if none, otherwise list entity/individual names below.

- Great-West Life & Annuity Insurance Company is an indirect, wholly owned subsidiary of Great-West Lifeco Inc. and a "Member of the Power Financial Corporation Group of Companies."

**3. Any person or entity that facilitated, or negotiated the terms of, the applicable contract (excluding legal services related to the negotiation or drafting of the applicable contract)**

Check here if none, otherwise list entity/individual names below.

Signature: [Signature] Date Signed: 12/13/2018

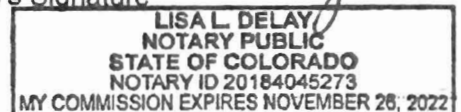
### Notary Verification

State of Colorado, County of Douglas:

I, Lisa L DeLay, the authorized agent of the contracting business entity listed above, being duly sworn, acknowledge that the Disclosure herein is being made under oath and under the penalty of perjury.

Taken, sworn to and subscribed before me this 13th day of December, 2018

[Signature]  
Notary Public's Signature



**To be completed by State Agency:**

Date Received by State Agency: 01/09/2019

Date submitted to Ethics Commission: But MAY 23 2019

Governmental agency submitting Disclosure: DOA - Purchasing

Revised June 8, 2018

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Third Party Name*	Service
Amazon Web Services	PAAS/IAAS / Data Center
Bank of New York/Mellon	NSCC clearing agent for daily mutual fund trading and fund of fund trading. Securities lending agent for the general account and investment company accounts.
Broadridge Investor Communications Solutions, Inc.	Print fulfillment
Cyracom International, Inc.	Call center translation service for non-English speaking clients
Depository Trust & Clearing Corp (DTCC)	Trade clearinghouse.
Experian Information Solutions, Inc.	Fraud prevention and multi-factor authentication
Financial Engines Advisors, L.L.C.	Online advice/managed account services
Fiserv Solutions, Inc. (Personix)	Print fulfillment
GIACT Services, LLC.	Account verification service for fraud prevention
Harte Hanks	Print fulfillment
Henry Wurst, Inc.	Print fulfillment
Hyland Onbase	Workflow Processing
Intuit/Quicken	Optional service that enables use of Quicken by participants.
Iron Mountain Information Management, Inc.	Offsite storage - backup tapes and paper records
Lexis-Nexis Risk Solutions, Inc.	FINRA mandated address checks, missing participants, confirming participation information
Merrill Communications, LLC	Print and distribution fulfillment
Message Broadcast	Temporary password activation codes via voice services and/or SMS text messages for ppt and plan websites
Microsoft 365	Pending -replacement of traditional on-premise software with hosted solution for MS Office Suite.
Morningstar Investment Management	Investment, market data, subadvisor services through managed account tool.
OptumHealth Financial Services, Inc.	Health Savings Account (optional service)
Pershing Bank	Clearing-bank for self-directed brokerage (optional service)
PNC Bank	Commercial Banking
Quovo, Inc.	Data aggregation service (pending)
SalesForce.com	CRM services, Email communications
Strahm Printing and Mailing Corporation	Print fulfillment
Charles Schwab & Co., Inc.	Self-directed brokerage (optional service)
TD Ameritrade	Self-directed brokerage (optional service)
Twilio, Inc.	Temporary Password Activationcodes via voice services and/or SMS text messages for ppt and plan websites
US Bank	Commercial banking
Vision Graphics	Print fulfillment
Wells Fargo	Commercial banking
<b>Affiliates</b>	
Advised Assets Group, LLC	Managed Accounts
Great-West Trust Company	Trust Services
Great West Global Business Services India Pvt. Ltd.	Back-office services and systems development
GWFS Equities, Inc.	Broker/Dealer services
<p>*Empower does not subcontract out core services. Empower does engage third parties and Affiliates to provide certain components of the services provided by Empower. The lists above are representative of third parties and Affiliates with whom Empower may share plan and participant data in order to provide certain components of the services provided by Empower. The lists are not intended to be a comprehensive list of such parties, and certain services described above may not be utilized by every plan. All such third parties are subject to confidentiality and data protection requirements in the handling of data.</p>	

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