



**Guide to Services and Compensation
 for ERISA Accounts Advised by
 Duff & Phelps Investment Management Co. (DPIM)
 (Pursuant to Section 408(b)(2) of ERISA)**

The following is a guide to important information that you should consider in connection with the services to be provided by DPIM to your ERISA account(s).

Should you have any questions concerning this guide or the information provided to you concerning our services or compensation, please do not hesitate to contact Kathy Hegyi at 312-917-6549 or kathy.hegyi@dpimc.com.

Required Information	Location(s)
Description of Services that DPIM will provide to your Plan.	These can be found in DPIM’s Form ADV Part 2A under Advisory Business.
A statement concerning the services that DPIM will provide as an ERISA fiduciary and a duly registered investment adviser under the Investment Advisers Act of 1940.	These can be found in your Investment Advisory or Investment Management Agreement under Appointment of Adviser, Acceptance by Manager or Representations section or in DPIM’s Form ADV Part 2A under Advisory Business.
Direct Compensation DPIM will receive from your Plan.	Information regarding compensation DPIM will receive from your plan can be found in your Investment Advisory or Investment Management Agreement under the Investment Advisory Fees, Fees, or Compensation to Manager section and/or the attached fee schedule to your agreement. It can also be found in the DPIM Form ADV Part 2A under Fees and Compensation.
Indirect Compensation DPIM will receive from other parties that are not related to DPIM.	Indirect compensation information can be found in the DPIM Form ADV Part 2A under Brokerage Practices.

Required Information	Location(s)
The cost to your Plan for recordkeeping services.	Not applicable. DPIM is not a recordkeeper or administrator to your Plan.
Compensation DPIM will receive if you terminate your Agreement.	Information regarding compensation paid upon termination of your account can be found in your Investment Advisory or Investment Management Agreement under the Investment Advisory Fees, Fees, or Compensation to Manager section and/or the attached fee schedule to your agreement. It can also be found in the DPIM Form ADV Part 2A under Fees and Compensation.
The manner in which the Plan is billed.	Information regarding the manner in which your Plan is billed can be found in your Investment Advisory or Investment Management Agreement under the Investment Advisory Fees, Fees, or Compensation to Manager Section and/or the attached fee schedule to your agreement. It can also be found in the DPIM Form ADV Part 2A under Fees and Compensation.