



MULTIEMPLOYER PROGRAM DIVISION

LOCK-IN APPLICATION

General Information

Under § 4262.10(g) of PBGC's Special Financial Assistance (SFA) regulation, a filer may submit a lock-in application for an SFA-eligible multiemployer plan. The lock-in application is considered the plan's initial application for SFA, and, as such, it locks in the plan's base data upon the date of its filing to PBGC. Base data are the plan's SFA measurement date, participant census data, non-SFA interest rate, and SFA interest rate (see § 4262.11(c)). After March 11, 2023, PBGC will accept a lock-in application regardless of whether the e-Filing Portal is open or temporarily closed. On or before March 11, 2023, PBGC will accept a lock-in application only from a plan in priority group 5, priority group 6, or an additional priority group that PBGC has added, and only when the e-Filing Portal is temporarily closed.

A lock-in application requires identifying information about the plan and plan sponsor, a statement of intent to lock in the plan's base data from an authorized trustee or other authorized representative, and a certification signed by an authorized trustee. Upon receipt, PBGC will review the lock-in application only to ensure that it has been signed and provides the information required in § 4262.10(g) and these instructions.

If the lock-in application satisfies the requirements of § 4262.10(g) and these instructions, then the application is considered filed and automatically denied for incompleteness (see § 4262.10(g)(4)). PBGC will record the application's filing date to establish the plan's base data. If the lock-in application does not meet the requirements of § 4262.10(g) and these instructions, PBGC will not consider the lock-in application filed.

PBGC will hold the lock-in application until the earlier of the date a revised application is filed for the plan or December 31, 2026. The revised application must be completed in accordance with PBGC's SFA regulation and the general instructions issued [here](#) and use the base data that was locked in as of the filing date of the lock-in application.

Upon review of the plan's revised application, if PBGC determines that the plan was not eligible for SFA when the plan's lock-in application was filed, the lock-in application will not establish the plan's base data (see §§ 4262.10(g)(1) and 4262.11(c)(2)). If the plan subsequently becomes eligible for SFA, the plan may file a revised application no later than December 31, 2026, to demonstrate eligibility and establish the plan's base data in accordance with § 4262.11.

Filing a Lock-In Application

A lock-in application is subject to the filing rules in part 4000 of PBGC's regulations. To submit a lock-in application, a filer must complete the form attached to these instructions, submit the form to multiemployerprogram@pbgc.gov, and include as the subject of the email "Lock-In

LOCK-IN APPLICATION

Application from (Plan Name).” You may send questions about this form to multiemployerprogram@pbgc.gov with the subject “Lock-in Application Question from (Plan Name).”

After a Lock-In Application Is Received

PBGC will send a confirmation email to the filer’s email address listed in the lock-in application. The email will state that PBGC received a lock-in application for the plan. If PBGC determines that the lock-in application does not meet the requirements of § 4262.10(g) and these instructions, then PBGC also will notify the filer. If the filer does not receive an email from PBGC within 10 business days of submission, contact PBGC at multiemployerprogram@pbgc.gov.

Special Instructions for a Lock-In Application Submitted for a Plan in Priority Group 5, Priority Group 6, or Other Eligible Priority Group on or before March 11, 2023

A plan in priority group 5, priority group 6, or another priority group added by PBGC (“eligible priority group plan”) may file a lock-in application beginning with the filing date specified for the plan’s priority group under § 4262.10(d)(2) and only when the e-Filing Portal is temporarily closed.

An eligible priority group plan that submits a lock-in application is required to state its priority group status and provide the required documentation listed on the form attached to these instructions. If PBGC determines that the plan is not in an eligible priority group, the lock-in application will not be considered filed and will not lock in the plan’s base data. See § 4262.10(e). After March 11, 2023, PBGC will treat a priority group plan the same as a non-priority group plan and accept a lock-in application regardless of whether the e-Filing portal is open or temporarily closed.

LOCK-IN APPLICATION

Part I. Plan Information

United Food and Commercial Workers Unions and Participating Employers Pension Fund

Plan name

Attorney for Plan

Sarah Sanchez

Role of filer

Name of filer

1625 Massachusetts Avenue, NW, Suite 450

ssanchez@slevinhart.com

Street address of filer

Email address of filer

Washington, DC 20036

(202) 797-8700

City, State, ZIP Code of filer

Telephone number of filer

5 2 6 1 1 7 4 9 5 0 0 2

EIN

PN

Board of Trustees, United Food and Commercial

Workers Unions and Participating Employers Pension Fund

Plan sponsor name

8400 Corporate Drive, Suite 430

jeffi@associated-admin.com

Street address of plan sponsor

Email address of plan sponsor

Landover, MD 20785-2361

(301) 459-3020

City, State, ZIP Code of plan sponsor

Telephone number of plan sponsor

Jeff Ianniello

Plan sponsor's authorized representative's name (if any; if none, then leave these spaces blank)

8400 Corporate Drive, Suite 430

jeffi@associated-admin.com

Street address of authorized representative

Email address of authorized representative

Landover, MD 20785-2361

(301) 459-3020

City, State, ZIP Code of authorized representative

Telephone number of authorized representative

LOCK-IN APPLICATION

Part II. Eligibility

The plan is eligible* for SFA because it meets the criteria for eligibility under (check all that apply):

X	§ 4262.3(a)(1) of PBGC's SFA regulation
	§ 4262.3(a)(2) of PBGC's SFA regulation
	§ 4262.3(a)(3) of PBGC's SFA regulation**
	§ 4262.3(a)(4) of PBGC's SFA regulation

* PBGC will not verify a plan's assessment of its eligibility for SFA until it receives the plan's revised application. If PBGC determines that the plan was not eligible on the date when the lock-in application was filed, then the lock-in application will not establish the plan's base data.

**For information on how to determine eligibility under this provision, see Section D, Item (3)c of the general instructions.

Part III. Priority Group

This section is required only for a lock-in application filed on or before March 11, 2023. If filing after that date, then leave this section blank and skip to Part IV.

Priority Group 5. Is the plan projected to become insolvent before March 11, 2026?

Yes No

If yes, then, except as provided below, the filer must provide a certification from the plan's enrolled actuary that the plan is eligible for Priority Group 5. This certification should specifically identify Priority Group 5 and contain sufficient information to demonstrate that the plan is eligible for Priority Group 5, including details of relevant plan projections and clear documentation of all assumptions, methods, and census data used in such projections.

Priority Group 6. Is the plan listed on www.pbgc.gov/arp-sfa as having a present value of financial assistance in excess of \$1 billion?

Yes No

If yes, skip to Part IV. Also, if yes and the plan is also in Priority Group 5, then the filer does not need to provide the supporting documentation described above.

If applicable, PBGC will post additional priority groups eligible to submit lock-in applications, the date PBGC will begin accepting applications for plans in additional priority groups, and any required information for a plan to demonstrate its priority group status on PBGC's website at www.pbgc.gov. Also, PBGC may require a plan sponsor to file additional information, including information to clarify or verify the plan's priority group status.

Part IV. Certification

This part must be signed and dated by an authorized trustee who is a current member of the board of trustees.

LOCK-IN APPLICATION

Under penalty of perjury under the laws of the United States of America, I declare that I am an authorized trustee who is a current member of the board of trustees of the: (insert plan name) United Food and Commercial Workers Unions and Participating Employers Pension Fund and that I have examined this application, and, to the best of my knowledge and belief, the application contains all the relevant facts relating to the application; all statements of fact contained in the application are true, correct, and not misleading because of omission of any material fact.

<i>Jason Chorpenning</i>	<i>William R. Seehafer</i>	3/23/2023	3/23/2023
<small>E21F42ACA04B4B3...</small>	<small>7DD5DA7C5486408...</small>		
Signed		Date	

Jason Chorpenning/William Seehafer
Printed name of signatory

Union Trustee, Secretary/Employer Trustee, Chairperson
Title

Part V. Statement of Intent

The part must be signed and dated by: (1) a trustee who is a current member of the board of trustees and authorized to sign on behalf of the board of trustees, or (2) another authorized representative of the plan sponsor. Part IV and Part V may but need not be signed by the same individual.

By submitting this lock-in application, I am submitting an initial application for SFA for: (insert plan name) United Food and Commercial Workers Unions and Participating Employers Pension Fund, with the intent to lock in the plan's base data.

<i>Jason Chorpenning</i>	<i>William R. Seehafer</i>	3/23/2023	3/23/2023
<small>E21F42ACA04B4B3...</small>	<small>7DD5DA7C5486408...</small>		
Signed		Date	

Jason Chorpenning/William Seehafer
Printed name of signatory

Union Trustee, Secretary/Employer Trustee, Chairperson
Title

PAPERWORK REDUCTION ACT NOTICE

This section provides information on the time and cost estimates for preparing and filing the lock-in application. If you have any comments concerning the accuracy of these estimates or suggestions for making it simpler to submit the information, please send your comments to the Pension Benefit Guaranty Corporation, Office of the General Counsel, 445 12th Street, SW, Washington, DC 20024-2101.

Information filed with PBGC in an application for special financial assistance (SFA) is confidential only to the extent provided under the Privacy Act. PBGC may, in its sole discretion, post an application for SFA and any documents and information filed for the application on its website at www.pbgc.gov, or otherwise publicly disclose the application, documents, and information, except information that is confidential under the Privacy Act.

PBGC will share with the U.S. Department of Labor and the Treasury Department (collectively, the Agencies) a plan's application, including any documents and information filed with PBGC, to enable the Agencies to fulfill their responsibilities under section 4262 of ERISA.

LOCK-IN APPLICATION

This information collection is necessary for PBGC to properly administer the SFA program. PBGC uses the information it receives in a plan's lock-in application to record the filing date for the plan's initial application for SFA.

PBGC estimates an average per plan hour burden of 1 hour of fund office time and an average cost burden of \$800 in contractor costs. These are estimates and the actual time and cost per plan will vary depending on the circumstances of a given filing and the size of the plan.

This collection of information has been approved by the Office of Management and Budget (OMB) under control number 1212-0074 (expires 07/31/2023). Under the Paperwork Reduction Act, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Certificate Of Completion

Envelope Id: 8E01E81A65234F868620C60B12C882D2	Status: Completed
Subject: Complete with DocuSign: 21195395v1 - 2551.01 SFA Lock In Application updated 3.22.23.PDF	
Source Envelope:	
Document Pages: 6	Signatures: 4
Certificate Pages: 5	Initials: 0
AutoNav: Enabled	Envelope Originator: Jeff Herron jeffh@associated-admin.com
Envelopeld Stamping: Enabled	IP Address: 173.233.51.94
Time Zone: (UTC-08:00) Pacific Time (US & Canada)	

Record Tracking

Status: Original 3/23/2023 5:00:01 AM	Holder: Jeff Herron jeffh@associated-admin.com	Location: DocuSign
--	---	--------------------

Signer Events

Jason Chorpenning
j.chorpenning@ufcw27.org
Trustee
Security Level: Email, Account Authentication (None)

Signature

DocuSigned by:

E21F42ACA04B4B3...
Signature Adoption: Pre-selected Style
Using IP Address: 174.203.137.154

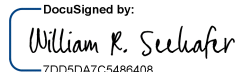
Timestamp

Sent: 3/23/2023 5:04:32 AM
Viewed: 3/23/2023 11:11:56 AM
Signed: 3/23/2023 11:12:25 AM

Electronic Record and Signature Disclosure:

Accepted: 3/23/2023 11:11:56 AM
ID: f3465872-9487-4a0e-a4ab-9442d7314301

William R. Seehafer
bseehafer@mguidance.com
Trustee
Security Level: Email, Account Authentication (None)

DocuSigned by:

7DD5DA7C5486408...
Signature Adoption: Pre-selected Style
Using IP Address: 35.136.230.20

Sent: 3/23/2023 5:04:32 AM
Viewed: 3/23/2023 7:27:25 AM
Signed: 3/23/2023 7:40:13 AM

Electronic Record and Signature Disclosure:

Accepted: 3/23/2023 7:27:25 AM
ID: 16e57162-9237-48e9-9c39-3ab8274116d4

In Person Signer Events	Signature	Timestamp
Editor Delivery Events	Status	Timestamp
Agent Delivery Events	Status	Timestamp
Intermediary Delivery Events	Status	Timestamp
Certified Delivery Events	Status	Timestamp
Carbon Copy Events	Status	Timestamp
Witness Events	Signature	Timestamp
Notary Events	Signature	Timestamp
Envelope Summary Events	Status	Timestamps
Envelope Sent	Hashed/Encrypted	3/23/2023 5:04:32 AM
Certified Delivered	Security Checked	3/23/2023 7:27:25 AM
Signing Complete	Security Checked	3/23/2023 7:40:13 AM

Envelope Summary Events	Status	Timestamps
Completed	Security Checked	3/23/2023 11:12:25 AM
Payment Events	Status	Timestamps
Electronic Record and Signature Disclosure		

ELECTRONIC RECORD AND SIGNATURE DISCLOSURE

From time to time, Associated Administrators LLC (we, us or Company) may be required by law to provide to you certain written notices or disclosures. Described below are the terms and conditions for providing to you such notices and disclosures electronically through the DocuSign system. Please read the information below carefully and thoroughly, and if you can access this information electronically to your satisfaction and agree to this Electronic Record and Signature Disclosure (ERSD), please confirm your agreement by selecting the check-box next to 'I agree to use electronic records and signatures' before clicking 'CONTINUE' within the DocuSign system.

Getting paper copies

At any time, you may request from us a paper copy of any record provided or made available electronically to you by us. You will have the ability to download and print documents we send to you through the DocuSign system during and immediately after the signing session and, if you elect to create a DocuSign account, you may access the documents for a limited period of time (usually 30 days) after such documents are first sent to you. After such time, if you wish for us to send you paper copies of any such documents from our office to you, you will be charged a \$0.00 per-page fee. You may request delivery of such paper copies from us by following the procedure described below.

Withdrawing your consent

If you decide to receive notices and disclosures from us electronically, you may at any time change your mind and tell us that thereafter you want to receive required notices and disclosures only in paper format. How you must inform us of your decision to receive future notices and disclosure in paper format and withdraw your consent to receive notices and disclosures electronically is described below.

Consequences of changing your mind

If you elect to receive required notices and disclosures only in paper format, it will slow the speed at which we can complete certain steps in transactions with you and delivering services to you because we will need first to send the required notices or disclosures to you in paper format, and then wait until we receive back from you your acknowledgment of your receipt of such paper notices or disclosures. Further, you will no longer be able to use the DocuSign system to receive required notices and consents electronically from us or to sign electronically documents from us.

All notices and disclosures will be sent to you electronically

Unless you tell us otherwise in accordance with the procedures described herein, we will provide electronically to you through the DocuSign system all required notices, disclosures, authorizations, acknowledgements, and other documents that are required to be provided or made available to you during the course of our relationship with you. To reduce the chance of you inadvertently not receiving any notice or disclosure, we prefer to provide all of the required notices and disclosures to you by the same method and to the same address that you have given us. Thus, you can receive all the disclosures and notices electronically or in paper format through the paper mail delivery system. If you do not agree with this process, please let us know as described below. Please also see the paragraph immediately above that describes the consequences of your electing not to receive delivery of the notices and disclosures electronically from us.

How to contact Associated Administrators LLC:

You may contact us to let us know of your changes as to how we may contact you electronically, to request paper copies of certain information from us, and to withdraw your prior consent to receive notices and disclosures electronically as follows:

To contact us by email send messages to: michaelm@associated-admin.com

To advise Associated Administrators LLC of your new email address

To let us know of a change in your email address where we should send notices and disclosures electronically to you, you must send an email message to us at michaelm@associated-admin.com and in the body of such request you must state: your previous email address, your new email address. We do not require any other information from you to change your email address.

If you created a DocuSign account, you may update it with your new email address through your account preferences.

To request paper copies from Associated Administrators LLC

To request delivery from us of paper copies of the notices and disclosures previously provided by us to you electronically, you must send us an email to michaelm@associated-admin.com and in the body of such request you must state your email address, full name, mailing address, and telephone number. We will bill you for any fees at that time, if any.

To withdraw your consent with Associated Administrators LLC

To inform us that you no longer wish to receive future notices and disclosures in electronic format you may:

- i. decline to sign a document from within your signing session, and on the subsequent page, select the check-box indicating you wish to withdraw your consent, or you may;
- ii. send us an email to michaelm@associated-admin.com and in the body of such request you must state your email, full name, mailing address, and telephone number. We do not need any other information from you to withdraw consent.. The consequences of your withdrawing consent for online documents will be that transactions may take a longer time to process..

Required hardware and software

The minimum system requirements for using the DocuSign system may change over time. The current system requirements are found here: <https://support.docusign.com/guides/signer-guide-signing-system-requirements>.

Acknowledging your access and consent to receive and sign documents electronically

To confirm to us that you can access this information electronically, which will be similar to other electronic notices and disclosures that we will provide to you, please confirm that you have read this ERSD, and (i) that you are able to print on paper or electronically save this ERSD for your future reference and access; or (ii) that you are able to email this ERSD to an email address where you will be able to print on paper or save it for your future reference and access. Further, if you consent to receiving notices and disclosures exclusively in electronic format as described herein, then select the check-box next to ‘I agree to use electronic records and signatures’ before clicking ‘CONTINUE’ within the DocuSign system.

By selecting the check-box next to ‘I agree to use electronic records and signatures’, you confirm that:

- You can access and read this Electronic Record and Signature Disclosure; and
- You can print on paper this Electronic Record and Signature Disclosure, or save or send this Electronic Record and Disclosure to a location where you can print it, for future reference and access; and
- Until or unless you notify Associated Administrators LLC as described above, you consent to receive exclusively through electronic means all notices, disclosures, authorizations, acknowledgements, and other documents that are required to be provided or made available to you by Associated Administrators LLC during the course of your relationship with Associated Administrators LLC.