

Run Date: March 24, 1993



TRANSMISSION SYSTEMS
2100 Reliance Parkway
Bedford, TX 76021
817-267-3141

STATEMENT OF DEFERRED VESTED BENEFITS
Reliance Electric Company Retirement Plan
Plan Identification Number: 049

[Redacted Name]

Social Security # [Redacted]
Date of Birth: [Redacted]
Termination Date: 06/30/92

Completed Years Vesting Service: 7.00

When you terminated employment, you had satisfied the eligibility requirements for a deferred vested benefit under the Retirement Plan. This benefit will normally be paid to you when you reach age 65 (07/01/22).

Plan provisions permit a participant who has at least 10 years of vesting service to elect to retire as early as age 55 with a reduced benefit based on the age at which you choose to retire. In no event will you be permitted to choose to have your retirement benefit commence retroactively.

Your monthly accrued benefit at age 65 is \$ 323.77. This amount is based on a life annuity form of payment which provides the highest possible monthly income to you because it does not continue to anyone else after you die. If you are not married when payments begin, and you do not elect an optional form of payment, you will automatically receive your benefit as a life annuity. If you are single, AND your death occurs before your payments commence, no benefits will be payable from the Plan.


If you are married for at least one year at the time payments begin, your benefit will automatically be paid in the form of a 50% joint and survivor annuity. This form of payment provides you with a reduced monthly lifetime income so that your surviving spouse will continue to receive 50% of your monthly income after you die. When you apply for your benefits, you may waive the automatic form of payment for a married participant and elect any other optional form of payment available. However, your spouse must give his/her written consent to your waiver on a form provided by the Company.

In case of your death prior to the commencement of your monthly benefit, your spouse will be eligible for a pre-retirement survivor's annuity if you had been married for at least one year at the time of your death. The benefit would be a life annuity paid to your spouse equal to 50% of the benefit you would have received had you survived to the earliest retirement date available to you, retired under the 50% joint and survivor form of payment, and died the next day.


You must apply for your benefit before payment can begin. You should contact your local Human Resources office no later than 60 days prior to the date you want your benefits to commence. You will need to submit a copy of your birth certificate. If you are married and elect a joint form of payment, you will need to provide a copy of your spouse's birth certificate and a copy of your marriage license.

Since it may be necessary for us to contact you from time to time regarding your status in the plan, you should keep us informed of any change in your address. When corresponding with the Company, please always include your full name, social security number, and the plan identification number shown above.

In addition you have an annuity in the amount of \$ 54.15/mo issued by Metropolitan Life Insurance Company for the accrued benefit earned through June 30, 1987 under the terminated Reliance Electric Company Retirement Plan for Salaried and Management Employees. When you wish benefit estimates under the annuity, you should contact Metropolitan directly. Attached is a form letter which you may use to request calculations from Metropolitan. You should keep Metropolitan advised of your address should you move from your present location.



Human Resources Department
EU / REU



Date

Run Date: September 11, 1996

Reliance Electric
Human Resources Department
6065 Parkland Boulevard
Cleveland, OH 44124
216.266.5800
Fax 216.266.1090



Reliance Electric

STATEMENT OF DEFERRED VESTED BENEFITS
Reliance Electric Company Retirement Plan
Plan Identification Number 049

B049

[Redacted]

Social Security # [Redacted]
Date of Birth: [Redacted]
Termination Date: 06/30/92

76021

As you were previously advised, when your employment with the former Reliance Comm/Tec Corporation terminated on 06/30/92 you had satisfied eligibility requirements for a deferred vested benefit under the Reliance Electric Company Retirement Plan (the "Plan"). The former Reliance Comm/Tec Corporation was spun off from Reliance Electric Company on August 1, 1995, becoming an independent company called RELTEC Corporation. Because your termination occurred while Comm/Tec was part of Reliance, your deferred vested benefit under the Plan remains an obligation of Reliance Electric. Therefore, when you wish payments to begin or have any questions regarding the deferred benefit described below, you should submit your questions or request in writing to the following: Plan Administrator (Plan 049), Reliance Electric Company, 6065 Parkland Blvd., Cleveland, OH 44124-5106.

Your monthly accrued benefit payable at age 65 is \$ 323.77. This amount is based on the life annuity form of payment which provides the highest monthly income to you since it does not continue to anyone after you die. If you are unmarried when payments begin and do not elect an optional form of payment, your benefit will be paid as a life annuity. If you are unmarried AND you die before payments begin, no benefits are payable from the Plan.

If you are married for at least 1 year when payments begin, your benefit will be paid automatically in the form of a 50% joint and survivor annuity. This form of payment provides a reduced monthly income so that your spouse may receive 50% of your benefit after you die. When applying for your benefit you may waive this form and elect any other form of payment available, however, your spouse must give written consent to your waiver on a form provided by the Company.

In case of your death prior to commencement of this benefit, your spouse would be eligible for a pre-retirement survivor's annuity if you had been married for at least 1 year at the time of your death. The benefit would be a life annuity paid to your spouse equal to 50% of the benefit you would have received had you survived to your earliest eligible retirement date, retired under the 50% joint and survivor option, and died the next day.

You must apply for your benefit before payments can begin. Contact Reliance at least 90 days in advance of the date you want your benefit to commence. You will need to submit a copy of your birth certificate. If you elect a joint form of payment, you will also need to provide a copy of the joint pensioner's birth certificate.

Since it may be necessary to contact you periodically regarding the Plan, please notify us of any change of address. When corresponding with the Company, always include your full name, social security #, and the Plan Identification number shown at the top of this letter.

In addition you have an annuity in the amount of \$ 54.15/mo issued by Metropolitan Life Insurance Company for the accrued benefit earned through June 30, 1987 under the terminated Reliance Electric Company Retirement Plan for Salaried and Management Employees. When you wish benefit estimates under the annuity, you should contact Metropolitan directly. Attached is a form letter which you may use to request calculations from Metropolitan. You should keep Metropolitan advised of your address should you move from your present location.

Virginia Lopez
Pension Department

9/11/96
Date



Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security
Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6047(e), 6057(b), and 6058(a) of the Internal Revenue Code (the Code).

▶ **Complete all entries in accordance with the instructions to the Form 5500.**

OMB Nos. 1210-0110
1210-0089

2014

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2014 or fiscal plan year beginning 01/01/2014 and ending 12/31/2014

- A** This return/report is for: a multiemployer plan; a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions); or a DFE (specify) M
- B** This return/report is: a single-employer plan; the first return/report; the final return/report; an amended return/report; a short plan year return/report (less than 12 months).
- C** If the plan is a collectively-bargained plan, check here.
- D** Check box if filing under: Form 5558; automatic extension; the DFVC program; special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan ROCKWELL AUTOMATION INC DEFINED CONTRIBUTION MASTER TRUST	1b Three-digit plan number (PN) ▶ 001
	1c Effective date of plan
2a Plan sponsor's name and address; include room or suite number (employer, if for a single-employer plan) ROCKWELL AUTOMATION, INC. 1201 S. SECOND STREET MILWAUKEE, WI 53204	2b Employer Identification Number (EIN) 25-1797617
	2c Plan Sponsor's telephone number 414-382-2000
	2d Business code (see instructions)

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	07/20/2015	TERESA E. CARPENTER
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	07/20/2015	TERESA E. CARPENTER
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE
Preparer's name (including firm name, if applicable) and address (include room or suite number) (optional)			Preparer's telephone number (optional)

For Paperwork Reduction Act Notice and OMB Control Numbers, see the instructions for Form 5500.

Form 5500 (2014)
v. 140124



P. O. Box 2837
Seal Beach, CA 90740

September 25, 2014

Personal and Confidential

Subject: Election Kit
Rockwell Collins Pension Plan

Dear [REDACTED]

The Rockwell Collins Pension Plan (the "Plan") recently announced a limited-time special opportunity that allows you to receive the value of your vested pension benefit under the Plan immediately—as a lump sum payment—if you act by **October 31, 2014**.

During this limited-time opportunity, your choices are:

Choice	Action by October 31, 2014
<ul style="list-style-type: none"> ➤ Elect to receive a single lump sum payment of \$13,284.42 in December 2014 	<ul style="list-style-type: none"> ➤ Complete and return Form 1 (three pages), Form 2 (one page) and, if married, Form 3 (three pages)
<ul style="list-style-type: none"> ➤ Elect to start monthly annuity payments as early as December 2014 (the amount depends on the form of payment you elect and your age — See Notice 1) 	<ul style="list-style-type: none"> ➤ Call the Rockwell Collins HR Service Center at 1.800.236.3071, Option 9 Monday through Friday, 7:00 a.m. – 6:00 p.m. Central time to request an application
<ul style="list-style-type: none"> ➤ Wait until later to begin receiving your pension as a monthly annuity (available upon request any time after your early or normal retirement date) 	<ul style="list-style-type: none"> ➤ Do nothing — no action is required at this time

This Election Kit describes the choices available to you, and the forms needed to make a lump sum election. Review this kit and the enclosed Decision Guide carefully as you consider your choices. If you are married, you should share this material with your spouse, who will need to participate in your election.

If you decide to elect a lump sum payment, you can use the Lump Sum Election Checklist as a guide for completing all required steps. Mail your completed forms and provide your proof of age **no later than October 31, 2014**.

To make an annuity election, or if you have questions on this special opportunity, call the Rockwell Collins HR Service Center at 1.800.236.3071, Option 9.

Sincerely,

Rosa F. Barone
Director, Benefits Administration Services



Notice 1 – Lump Sum and Annuity Amounts

Prepared for: ██████████

Special Opportunity Available Until October 31, 2014

PAYMENT OPTIONS

The options below are available to you during this limited-time offer, and were calculated using a payment date of December 1, 2014. Your options are based on your date of birth of June 14, 1957, and your accrued pension benefit. Please refer to **Notice 2 – Important Information** for an explanation of how each option works. If you are married, spousal consent is required to elect a Lump Sum Payment or an annuity option other than the Qualified Joint and Survivor annuity.

Your estimated accrued benefit payable from the Rockwell Collins Pension Plan as a Single Life Annuity at age 65 (or current age, if greater) is \$135.12 per month.

The lump sum payment amount below is based on current interest rates and actuarial factors that may vary from those used to calculate benefits commencing in future years. It includes the total normal retirement age value of your benefit across all sub-plans in which you participated.

OPTION 1 – Lump Sum Payment
(Available From: 12/01/2014 to 10/31/2014) (Required)

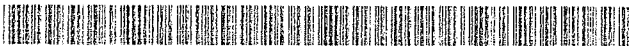
\$13,284.42 payable in December 2014. After the lump sum is paid, you will not be eligible for any additional benefits from the Plan, and no additional benefits will be paid after your death.

OPTION 2 – Immediate Annuity Payment

To elect a monthly annuity option, call the Rockwell Collins HR Service Center at 1.800.236.3071, Option 9.

Annuity Form	Monthly amount payable for your life, beginning December 1, 2014	Monthly amount payable to your spouse or domestic partner after your death
Single Life Annuity	\$97.69	\$0.00 (no other benefits paid from Plan)
65% Joint and Survivor Annuity	\$92.81	\$55.69 (provided for rest of survivor's life)
75% Joint and Survivor Annuity	\$87.92	\$65.94 (provided for rest of survivor's life)
100% Joint and Survivor Annuity	\$83.04	\$83.04 (provided for rest of survivor's life)

The Plan provides for the same Qualified Joint and Survivor Annuity options for all ages, so your Joint & Survivor monthly benefit amounts will be the amounts shown above, regardless of the ages of you and your spouse or domestic partner.



Prepared for: ██████████

Special Opportunity Available Until October 31, 2014

RELATIVE VALUE OF PAYMENT OPTIONS

To help you understand the optional forms of payment available to you, the chart below shows the "relative value" of these options compared to a Single Life Annuity. This chart helps you to compare the value of distributions paid in different forms. The comparison is made using IRS interest rates and life expectancy assumptions, which may be different than the Plan's interest rates and life expectancy assumptions. The IRS interest rates are 1.24% for benefit payments commencing within 5 years, 4.47% for the following 15 years and 5.52% thereafter. Keep in mind that the actual value of your payments will depend on how long you live.

Your election is an important decision and the best choice for you will depend on many factors. Since your election is a one-time choice, you should discuss it with your family and your tax and/or financial advisor.

Payment Options	Basic Benefit	Survivor Benefit	Relative Value
Single Life Annuity	\$97.69	\$0.00	\$17,407.69
60% Joint and Survivor Annuity*	\$92.81	\$55.69	\$17,623.61
75% Joint and Survivor Annuity*	\$87.92	\$65.94	\$16,953.34
100% Joint and Survivor Annuity*	\$83.04	\$83.04	\$16,416.47
Lump Sum Payment	\$13,284.42	\$0.00	\$13,284.42

* Joint and Survivor Annuity options were determined assuming you and your survivor are the same age.

Because your lump sum benefit will be calculated based on your benefit at normal retirement age (typically age 65), the value of any early retirement subsidy that would apply to your annuity benefit under the terms of the Plan outside of this special opportunity will not be included in the lump sum amount.

SUMMARY OF MATERIAL MODIFICATIONS

This Election Kit is intended to serve as your Summary of Material Modifications, which is the required notice to inform you of Plan changes that apply to you.



At a glance

Name:

Accrued Benefit:

\$135.12

Vesting Status:

Vested

Did you know?

The company provides a pension plan to you as one source of income when you retire. The plan is company paid, and it is protected and insured by the government to certain limits.

Your personal data

Date of Birth:

Date of Hire:

12/1/1997

Early Retirement Date:

6/14/2012

Normal Retirement Date:

6/14/2022

About this statement

The information provided in this statement is based on plan records and personal data on file. Although every reasonable effort has been made to provide you with accurate information, the possibility of error exists. If there are any discrepancies between the information in this statement and the official plan documents, the plan documents will govern. Rockwell Collins retains the right to change, reduce or eliminate future benefits or terminate the plan at any time. This statement does not represent a contract of employment.

Your 2009 Personalized Pension Statement

This statement is being sent to you as required by the Pension Protection Act of 2006. It describes your right to receive a benefit and shows your accrued pension as of 12/31/2009. Please review this statement and keep it with your important documents for future reference and financial planning.

Your Pension Plan

The Rockwell Collins Pension Plan (EIN 52-2314475) is a defined benefit pension plan that is paid for by the company. With this type of plan, Rockwell Collins promises to pay a monthly benefit in retirement that is "defined" by a plan formula. Our records indicate that you are in the Electronics Salaried sub-plan.

Your Vesting Status

As of 12/31/2009, you were 100% vested in the pension plan.

Your Accrued Pension Benefit

Your accrued benefit is the pension plan benefit you have earned to date. As of 12/31/2009, your monthly accrued benefit payable for your lifetime beginning at age 65 is \$135.12.

If you are 100% vested, this is the monthly amount you would receive at age 65 if you stopped working for the company today. Your accrued benefit is determined under a formula that is partially offset by your benefits payable from Social Security. A higher rate of benefit is earned for pay above a 35-year average of Social Security taxable wage base amounts, referred to as Covered Compensation, and a lower rate of benefit is earned for pay up to the same level of Covered Compensation.

For additional information regarding specific pension plan definitions and provisions, refer to your Summary Plan Description or contact the HR Service Center at 800.236.3071. You can also obtain pension information by accessing the eBenefits & Pay Portal at www.benefits.rockwellicollins.com



August 10, 2015

[Redacted]

Dear Mr. [Redacted]

This letter is in response to your inquiry into a potential benefit from the Emerson Electric Company Retirement Plan.

Based on your request you were employed at Reliance Electric in Bedford TX from October 1985 through June 1992. A search of your name/SSN against the Emerson Reltec pension database failed to locate a record of your benefit. In addition, the Emerson Network Power Division (Reltec) in Lorain, OH was unable to provide us any information regarding your benefit eligibility.

Although we were not able to locate a potential benefit this is not uncommon as Emerson does not administer all prior Reltec Corporation benefits. Your Reltec benefit may be covered by one of the following companies; MetLife (800) 638-5656 or Rockwell (800) 236-3071.

There is no benefit due from the Emerson Electric Company Retirement Plan.

Sincerely,

Michelle M. Munzer
Senior Pension Administrator
Emerson Electric Co.
Corporate Pension

C: Tonya Routhieaux, Emerson Network Power

TIMELINE – [REDACTED] Pension Puzzle

Through January 30, 1995

Reliance COMM/TEC (my employer from October 1985 through June 1992) is owned by Reliance Electric Company, based in Cleveland, OH. I left as of June 30, 1992 with 7 years of vesting service in the Reliance Electric Company Retirement Plan 049 (see letter dated March 24, 1993 from Reliance COMM/TEC).

January 31, 1995

Reliance Electric Company is purchased by Rockwell International (which is later renamed Rockwell Automation). My pension is now an obligation of Rockwell, as evidenced in the September 11, 1996 letter from Rockwell Automation/Reliance Electric.

August 1, 1995

The Reliance COMM/TEC business unit is spun off from Reliance Electric as Reltec Corporation. Because I was not employed at Rockwell/Reliance when the spin-off occurred, my deferred, vested benefit SHOULD have remained an obligation of Rockwell/Reliance Electric.

April 30, 1999

Marconi plc buys Reltec Corporation. This does not affect me, because my pension obligation remained with Reliance Electric after being purchased by Rockwell in 1995.

September 30, 2004

Emerson buys Marconi plc's outside plant equipment business (the former Reltec Corporation). Emerson therefore assumes liability for all Reltec vested pension obligations. This is why my colleague (who worked for Reltec post-spinoff from Reliance Electric) has a pension from Emerson and I do not.

March 30, 2007

Baldor Electric buys Reliance Electric from Rockwell Automation. Because I did not work at Reliance at this point, the obligation for my pension remains with Rockwell Automation.

August 20, 2015



Western States Pension Assistance Project
Senior Legal Hotline
505 12th Street
Sacramento, CA 95814
Phone: (916) 551-2140
Fax: (916) 551-2197
Toll Free: (800) 222-1753
www.sih.lsnr.net

October 5, 2015

VIA CERTIFIED MAIL – RETURN RECEIPT REQUESTED

Attention: Pension Plan Administrator
Rockwell Automation
1201 S. Second Street
Milwaukee, WI 53204

Re: Claim for Verification of Vested Status in the Reliance Electric Company (049)
Pension Plan for Plan Participant [REDACTED]

Dear Plan Administrator:

The Western States Pension Assistance Project is a nonprofit law office that assists individuals with their pension and retirement savings plans. I am writing on behalf of our client, [REDACTED]. Mr. M's authorization for the Western States Pension Assistance Project to represent him is attached herein. (Exhibit 1.)

Mr. M hereby requests verification of his vested benefit as earned under the Reliance Electric Company Retirement Plan, Plan Identification Number 049 for his work from October 1985 through June 1992. (Exh. 2 and 3.) Please note that the Reliance Electric Company Retirement Plan, Plan Identification Number 049 is a separate and distinct benefit from the Rockwell Collins Pension Plan (EIN 52-2314475), from which Mr. M received a lump sum distribution in December 2014. As demonstrated below, our client is a vested participant in this pension plan, and is eligible to receive a monthly benefit commencing at age 65.

Relevant Background Supporting Entitlement to a Deferred Vested Pension Benefit

Mr. M worked for Reliance Comm/Tec from October 1985 through June 1992. During Mr. M's employment, the Reliance Electric Company owned Reliance Comm/Tec. He earned a deferred vested pension benefit based on his seven years of service under the Reliance Electric Company Retirement Plan 049 (hereinafter "the 049 Plan"). (See Exh. 2 & 3.)

In 1993, Mr. M received a statement of deferred vested benefits from Reliance Comm/Tec. This statement was ran on March 24, 1993, and reports an earned monthly accrued pension benefit at age 65 of \$323.77. (Exh. 2.)

A similar statement of deferred vested benefits for the 049 Plan benefit was ran again on September 11, 1996. (Exh. 3.) This 1996 letter was printed on Rockwell Automation letterhead, and reiterates Mr. M's entitlement to a pension benefit based on his employment with Reliance Comm/Tec Corporation under the Reliance Electric Company Retirement Plan 049. The 1996 letter further explains that the "former Reliance Comm/Tec Corporation was spun off from Reliance Electric Company on August 1, 1995" and because Mr. M's termination occurred while Comm/Tec was part of Reliance, then his deferred vested benefit remains an obligation of Reliance Electric. The letter confirms the same vested benefit under the 049 plan of \$323.77/month at age 65. (See. Exh. 3.)

Pursuant to a 1998 PBGC Form 1-ES (Exh. 4), the 049 plan (34-1538687-049) merged with the Rockwell Retirement Plan, Employer Identification Number: 25-1797617, plan: 001. The 2014 form 5500 associated with this plan (25-1797617-001) lists Rockwell Automation as the plan sponsor/plan administrator: Rockwell Automation Defined Contribution Master Trust, 1201 S. Second Street, Milwaukee, WI 53204. (Exh. 5.)

Mr. M has faced tremendous difficulty locating the administrator of his earned 049 vested pension benefit. Further, Rockwell Automation has confused Mr. M's entitlement to the 049 pension plan with the distinctly separate Rockwell Collins Pension Plan (EIN 52-2314475). Mr. M earned a vested pension benefit from the Electronics Salaried sub-plan of the Rockwell Collins Pension Plan based on his work from December 1, 1997-1999. Mr. M earned a vested benefit under Rockwell Collins Pension Plan with a normal retirement age benefit of \$135.12/month. (Exh. 6.) However, in December 2014, Mr. M elected a lump sum distribution of his entire Rockwell Collins pension benefit.

In August 2015, Mr. M again spoke with a Hewitt representative for Rockwell Automation, who indicated that she understood he may be an omitted participant in Rockwell Automation's administration of the 049 plan. She indicated she would research the matter, and Mr. M thought that there would soon be resolution to this ongoing issue. On August 25, 2015, Sandy from the Rockwell Automation plan administrator's office left Mr. M a voicemail stating the only records they had associated to him relate to the distribution from the Rockwell Collins Plan. Mr. M followed up by leaving Sandy a voicemail stating that the 049 Reliance Electric vested pension benefit is distinct from the Rockwell Collins distribution.

Mr. M assumed that Rockwell Automation had conducted thorough research, as advised by the Hewitt representative, and would thus uncover his clear participation and vesting in the 049 Plan. However, on September 22, 2105, the Hewitt representative told Mr. M that

the December 2014 Rockwell Collins lump sum payout represented his accrued benefit from Reliance Electric Company under the 049 plan.¹

As Mr. M indicated to the Hewitt representative, he earned a deferred vested benefit under two entirely different plans for work with two different employers during two distinctly different periods of time. Mr. M did not begin his work with Rockwell Semiconductor, where he earned his Rockwell Collins benefits, until 1997. As indicated by the previous Reliance Electric letters, he had vested in the 049 plan by the time he left Reliance Comm/Tec in 1992. (See. Exh. 2 & 3.)

Discussion

Pursuant to the Employee Retirement Income Security Act (ERISA), “each pension plan shall provide that an employee's right to his normal retirement benefit is nonforfeitable upon the attainment of normal retirement age.” 29 U.S.C. § 1053(a). If the Plan dismisses Mr. M's right to his 049 plan because he received a payout from Rockwell Collins for a separate pension benefit, then that would violate section 1053(a).

Mr. M earned two deferred vested pension benefits and ERISA protects the forfeiture of a vested pension benefit. The enclosed exhibits demonstrate Mr. M's clear entitlement to a deferred vested pension benefit under the 049 plan based on his work with Reliance Comm/Tec from October 1985 through June 1992.

It was unreasonable for the Hewitt representative to advise Mr. M that his 049 benefit was the same as his Rockwell Collins benefit. Further, it was a breach of the fiduciary duties of the plan to disregard Mr. M's inquiry and instead refer him to the PBGC for assistance.

Mr. M's 049 deferred vested pension is a separate benefit from the one he earned and received from the Rockwell Collins plan. The employer identification numbers are distinct, the plans are distinct, the time periods worked are distinct, and the amounts earned are distinct. Because Rockwell Automation administers the relevant plan, then Mr. M is entitled to his earned deferred vested pension benefit from Rockwell Automation.

Summary

For the reasons stated herein, we respectfully request that the Plan provide Mr. M with verification of his deferred vested pension benefit. Please provide a copy of the pension plan document as it was in effect during Mr. M's last hour of service in 1992 so that Mr. M can better assess his rights and obligations under the plan. This request for information is

¹ Because nothing was explained in writing, and the information that Mr. M provided to the plan representatives was seemingly not taken seriously, we will contact the Department of Labor's Employee Benefits Security Administration (EBSA) for assistance if due diligence in researching this matter is not exhibited at this time. Our client is concerned that the plan has not properly maintained his records or researched his benefit entitlement. It is unreasonable for the plan to state that the Rockwell Collins lump sum received in December 2014 is the same benefit as the 049 Reliance Electric benefit. Fortunately, Mr. M retained records which clearly state his deferred vested status in both plans, because the fiduciaries seemingly failed to maintain adequate (or any) records here.

made under Section 105 (pension benefit statements) and Section 104 (summary plan descriptions, trust agreements, contracts, or "other instruments" related to the Plan) and Section 502 of ERISA, and applicable Department of Labor Regulations.

Please send us any additional forms that our client needs to perfect this request for information and verification of deferred vested pension benefits. Further, Mr. M requests necessary forms to commence his vested benefit as soon as possible, if he is eligible under the plan. You may direct your written response to us at: Western States Pension Assistance Project, Legal Services of Northern California, Senior Legal Hotline, 505 12th Street, Sacramento, CA 95814, or via email: janders@lsnc.net. Thank you for your attention to this matter.

Sincerely,

Jennifer Anders-Gable
Supervising Attorney, Western States Pension Assistance Project

cc:

[Redacted]

Enclosures: Exhibits 1-6