

NOTICE TO INTERESTED PARTIES

This Notice is addressed to all present employees eligible to participate under the plan described below:

EMPLOYER INFORMATION

- (1) Applicant/Plan Administrator: William Marsh Rice University (the "University")
- (2) EIN: 74-1109620
- (3) Address: Human Resources, MS-92, P.O. Box 1892, Houston, TX 77251-1892
- (4) Plan Name: William Marsh Rice University Defined Contribution Retirement Plan (the "Plan")
- (5) Plan Number: 009

PRESENT EMPLOYEES ELIGIBLE TO PARTICIPATE UNDER THE PLAN

Participation in the Plan is generally limited to an employee of the University who is classified in the payroll or personnel records maintained by the University as a tenured or tenured-track faculty member, annually appointed faculty member, or staff member. Any employee who is classified as a student worker or whose employment with the University is subject to a collective bargaining agreement is not eligible to participate in the Plan.

RIGHTS OF INTERESTED PARTIES

On the Filing Date shown above, an application will be filed with the Internal Revenue Service ("IRS"), EP Determination Letters, Stop 31, at P.O. Box 12192, Covington, KY 41012-0192 for an advance determination as to whether the Plan meets the qualification requirements of Section 401 of the Code with respect to amendments to the Plan through the Filing Date. The IRS has previously issued a determination letter with respect to the qualification of the Plan. You have the right to submit to EP Determinations, at the above address, either individually or jointly with other interested parties, your comments as to whether the Plan meets the qualification requirements of the Code. Your comments to EP Determinations may be submitted to: Internal Revenue Service, EP Determinations, Attn: Customer Service Manager, P.O. Box 2508, Cincinnati, OH 45202. You may instead, individually or jointly with other interested parties, request the Department of Labor (the "Department") to submit, on your behalf, comments to the IRS regarding qualification of the Plan. If the Department declines to comment on all or some of the matters you raise, you may, individually, or jointly if your request was made to the Department jointly, submit your comments on these matters directly to EP Determinations at the Cincinnati address above.

REQUESTS FOR COMMENTS BY THE DEPARTMENT OF LABOR

The Department may not comment on behalf of interested parties unless requested to do so by the lesser of 10 employees or 10 percent of the employees who qualify as interested parties. The number of persons needed for the Department to comment with respect to the Plan is ten (10). If you request the Department to comment, your request must be in writing and must specify the matters upon which comments are requested, and must also include: (1) the information contained in items (1) through (5) of this Notice and (2) the number of persons needed for the Department to comment. A request to the Department to comment should be addressed as follows: Deputy Assistant Secretary, Employee Benefits Security Administration, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210, ATTN: 3001 Comment Request.

COMMENTS TO THE INTERNAL REVENUE SERVICE

Comments submitted by you to EP Determinations must be in writing and received by it by December 28, 2015. However, if there are matters that you request the Department of Labor to comment upon on your behalf, and the Department declines, you may submit comments on these matters to the IRS to be received by it within 15 days from the time the Department notifies you that it will not comment on a particular matter, or by December 28, 2015, whichever is later, but in no event later than January 12, 2016. A request to the Department to comment on your behalf must be received by it by November 28, 2015 if you wish to preserve your right to comment on a matter upon which the Department declines to comment, or by December 8, 2015 if you wish to waive that right.

ADDITIONAL INFORMATION

Detailed instructions regarding the requirements for notification of interested parties may be found in Sections 17 and 18 of Rev. Proc. 2015-6. Additional information concerning this application (including, where applicable, an updated copy of the Plan and related trust; the application for determination and any additional documents dealing with the application that have been submitted to the IRS) and copies of section 17 of Rev. Proc. 2015-6 may be obtained by contacting the Plan Administrator during the hours of 9:00 - 5:00. (There is a nominal charge for copying and/or mailing.)