

Retirement Plan Profile Questionnaire

A retirement plan is one of the most important benefits you can offer your employees. The information requested below will help us identify solutions that best correspond with your needs and those of your employees.

GENERAL INFORMATION

Company Name: _____	Total Number of Employees: _____
Company Address: _____	Phone: _____
Key Contact Name: _____	Email: _____
Title: _____	Payroll Provider: _____

Type of Business (note tax basis):	S-Corp	Sole Prop	Corp	Partnership
LLP (part.)	LLP (corp)	LLC (part.)	LLC (corp)	LLC (Sole Prop)

CURRENT PLAN INFORMATION

Do you currently offer a retirement plan?	Yes	No (If no, continue on page 2)
If yes, what type? _____		
Recordkeeper Name: _____	Number of Eligible Employees: _____	
Third Party Administrator (TPA) Name (if applicable): _____	Total Employee and Employer Annual Plan Contributions: _____	
Total Plan Assets: _____	Do you use a self-directed brokerage window?	
	Yes	No
Is your Financial Advisor a fiduciary or a commission based Financial Advisor?		
Fiduciary	Commission Based	
If fiduciary, is your Financial Advisor making the investment decisions on your behalf?		
Yes	No	
Does the company, its owner or spouse of owners—together or separately—own or control 80% or more of another company (or otherwise form a "Controlled Group" of related companies as defined by IRS)?		
Yes	No	

Do you currently sponsor any other types of retirement benefits?	No	Yes (list below):
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COMPANY INFORMATION

1. Tell us about the company. Do you anticipate any changes in your business that would impact the number of people that you currently employ?

2. Does the company, or any of its owners/shareholders or their close relatives (e.g. spouse, children, grandchildren, parents) own any interest in any other business entity? If Yes, please explain.

3. Tell us about your employees. What level of education do they need around plan participation and retirement planning in general?

4. Does your company have non-native English speakers and will you require your retirement plan to support languages other than English?

No

Yes (list non-English languages below):

5. What is your goal in offering benefits? How important is a retirement plan to your comp and benefits strategy?

6. Does your company currently make or anticipate making employer contributions? If so, at what percentage of salary?

7. If currently offering a retirement plan, do you know what fees you pay? If not, how important are fees in your decision process?

8. If currently offering a retirement plan, does the plan currently offer a stable value fund or fixed account as one of its investment offerings? If yes, what is the fund name?

9. Would you say that your retirement plan is easy to administer?



10. How comfortable are you with taking on the fiduciary liability for making investment decisions on the retirement plan's investment lineup?



11. What could be improved?

12. What feedback have you received from employees on the retirement plan?

KEY CONSIDERATIONS

1. In your evaluation process, what are the top 3 elements you're measuring – such as investment oversight and performance, employee education, plan participation, cost – and why are they important to you?
2. What is the decision making process for your retirement plan provider(s)? Are there any additional parties that should be included in a review of a proposed solution?
3. If provided with a solution for your company that could help meet your objectives, when would you like to implement that?

If available, the following documents will help us provide more detailed recommendations about retirement plan options for your business.

- ☐ List of Investments with Balances
- ☐ Most recent plan level quarterly or annual report provided by your recordkeeper
- ☐ Fee Disclosure from your recordkeeper and/or Financial Advisor
- ☐ Plan Document/Adoption Agreement
- ☐ Investment Policy Statement (If Applicable)
- ☐ Any other relevant documents

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