

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: _____

CURRENT PLAN INFORMATION

Do you currently offer a retirement plan? Yes No *(If no, continue on page 2)*

If yes, what type? _____

Record Keeper 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

Do you currently sponsor any other types of retirement benefits?

No Yes (list below):

If fiduciary, is your financial advisor making the investment decisions on your behalf?

Yes No

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

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

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

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

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



7. What could be improved?

8. 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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