

About Your Firm / Team

Please tell us about your firm. If your team is affiliated with a large firm that includes multiple teams around the country, please tell us about your local team.

1. Firm Name:
2. Address:
3. Contact for this RFP
 - Name:
 - Phone:
 - Fax:
 - Email:
4. Describe the ownership and structure of your firm:
5. List your firm's lines of business (including affiliated companies):
6. How many years has your firm been in business?
7. Briefly describe your firm's history:
 - a. How many years has your firm been servicing retirement plan clients?
 - b. What documentation of your firm's history servicing retirement plan clients can you provide?
8. What is the total number of employees in your firm?
 - a. Of those, how many employees are Investment Advisory Representatives (IAR)?
 - b. Do you use sub-contractors?
9. What is the position of your firm in the employer-sponsored retirement plan business?
 - a. Percentage of revenue from retirement plan investment advisory services -
 - b. Plan assets under advisement -
 - c. Total number of clients with a defined contribution plan under your advisement (401(k) / 403(b) / 401(a) Profit Sharing / 401(a) Profit Sharing or Money Purchase other than 401(k) plans, Government 457, 457(b), and 457(f) plans) –
 - d. Number of client plans added over the past 24 months –
 - e. Number of clients lost over the past 24 months –
 - f. Recognition received from independent sources demonstrating expertise and credibility –
10. Please list the types of services your firm offers for retirement plans:
11. Please describe your firm's experience helping clients through complex processes such as Department of Labor audits, Internal Revenue Service audits, voluntary compliance actions, partial plan termination determinations, plan mergers or spin-offs, plan terminations, or corrective contributions:
12. Describe what differentiates your firm from other investment consulting firms:
13. How does your firm define and measure the success of retirement plan consulting relationships?
14. Please list the federal, state, and other regulatory agencies with which your firm is licensed or registered, and the type of license held:
 - a. Please indicate which employees are not registered or licensed, and why:
15. Have any individuals from your firm ever been disciplined by any government regulator for unethical or improper conduct or been sued by a client who was not happy with the work performed by the firm?
16. Has your firm or any advisor of your firm been found guilty of any violation of paid any fines because of violations of securities regulations or ERISA?
17. Is your firm bonded/insured?
 - a. If yes, to what amount?

18. Does your firm work with client plans on an advisory basis?
- If yes, please provide a copy of both parts of your firm's most recent SEC Form ADV.
19. Does your firm work with clients on a commission basis?
20. Please list four clients similar to our organization in terms of number of employees, number of locations, plan size and participants that we can contact as references. Please provide contact name, company name, address, phone and email, if possible.

Service Team

- Describe your service model to our plan (staff, responsibilities, interactions with our plan, frequency of in-person meetings, frequency of conference calls, team dynamics):
- Primary contact for our relationship:
 - Name:
 - Title:
 - City and State:
 - Phone:
 - Fax:
 - Email:
 - Overall experience with employer-sponsored retirement plans:
 - Commitment to the retirement plan business:
 - Education, honors, designations and other credentials:
 - Regular activities to stay current on market and regulatory developments:
 - Area of expertise:
 - Years with the firm:
 - Role at the firm:
 - Number of plans supported:
 - Average size of plans supported:
- Will the primary contact be the only person with whom we will be working?
 Yes No (if no, please list name(s), contact information, and profile information for each person)

Investment Services

- Describe your firm's approach to 401(k) plan investment consulting:
- What investment policy statement support do you offer?
- What tools does your firm use to evaluate investment funds and managers?
 - Which of these tools are proprietary to your firm, developed in-house or specifically for your firm?
- How are investment benchmarks determined?
- Do you have an investment watch list and what is your termination recommendation process?
- What actions do you take when investments are not performing?
- Do you hold performance review meetings with clients?
 - How frequent?
 - What reports are provided to the client for the meeting?
 - Please provide a sample of recorded minutes of a client performance review meeting.

Participant Services

1. Please list the types of services your firm provides to retirement plan participants.
2. Do you offer advice/education?
3. Do you offer model allocations?
4. What resources do you have dedicated to participants?
5. Can you provide service to both English- and Spanish-speaking participants?
6. Please provide two specific examples of ways in which your firm has made a positive impact on retirement plans you support over the past 24 months (For example: increased participation, increased deferrals, enhanced services, lower fees).

Provider/Vendor Services

1. With how many different service providers does your firm work to support current clients?
2. List the top three TPA/Record keepers/Trustees that you have recommended to clients.
3. Do you have a vendor benchmark service/process?
 - a. If yes, please describe:
4. What plan design change initiatives have you led with your clients in the past 24 months?

Fiduciary Status and Compliance

1. Do you intend to act as a fiduciary for the plan and or its participants?
 - a. If yes, please describe your fiduciary responsibility:
2. What compliance resources does your firm provide?
3. Do you offer committee training, education, and support?
4. Describe potential conflicts of interest that may arise with the proposed advisory relationship:
5. Does your firm have a written policy for addressing conflict of interest?
 Yes No (if yes, please describe)
6. Have any of your clients been the subject of investigation by the Department of Labor?
 Yes No (if yes, please describe)

Fees

1. How if your firm compensated for services?
2. What percentage of your firm's revenue is derived from:
 - a. Commission relationships –
 - b. Advisory relationships –
3. Does your firm receive any form of compensation or benefits from companies or individuals whose products or services you may refer or recommend?
 Yes No (if yes, please explain)
4. Please describe any and all fees for services to our plan under this proposal:
5. Are you willing to guarantee your fees for a specific period of time?

6. Does your firm provide written agreement or a letter of engagement detailing services provided to our plan?

Yes No (if yes, please include sample)

7. What is your ability to offset fees with 12b1 fees, finders' fees, or other fees embedded within the plan's investments?

Technology

1. What applications or technology do you run that would be beneficial to our plan?

a. Which of these applications are proprietary to your firm?

Security and Business Continuity

1. Please describe the succession plan for the primary contact who will be working with our plan: