



Retirement Plan Review For Plan Sponsors/Business Owners

Retirement Plan Structure

1. When was the company's retirement Plan established? _____
2. When was the last time the Plan had a comprehensive review? _____
3. Do you utilize a retirement plan advisory committee? Yes No
4. What is the Company match? _____
5. Does the Plan provide a Roth investment option? Yes No
6. Does the Plan provide an employee loan provision? Yes No
7. Does the Plan provide online access and daily valuation? Yes No
8. Does the Plan provide a self-directed account option? Yes No
9. Do you offer auto enrollment? Yes No
10. What is your plan participation rate? _____
11. Have you conducted a benchmarking process? Yes No

Plan Cost Structure

12. What is the Plan's TPA cost? _____
13. What is the Plan's investment advisor cost? _____
14. What are the Plan's investment cost by option? _____
15. Are there any hidden costs or revenue sharing/12b(1) fees? Yes No

Investment Options

16. How many investment options does the Plan provide? _____
17. Are the selections limited to proprietary options? Yes No
18. What is the current 1, 3, & 5 year performance for each option? _____
19. Does the Plan offer: Mutual Funds ETFs Managed Funds *(Check all that apply)*
20. Does the Plan have a QDIA option? _____

Employee Participation

21. Do you hold an annual employee meeting to discuss the Plan? Yes No
22. Do your employees have the option to meet with your Plan advisor? Yes No

Liability

23. Are you aware that ERISA regulations state that Plan Sponsors have unlimited personal liability for any mismanagement of the Plan? Yes No
24. Are you aware that the DOL and IRS are increasing audit rates? Yes No
25. Have your service providers given you written notice of their Fiduciary status? Yes No
26. Have you benchmarked your Plan recently? Yes No