



## Service summary

Date: \_\_\_\_\_  
Prepared for: \_\_\_\_\_  
Prepared by: \_\_\_\_\_

### **Service Offering** (check if offered)

<b>For fiduciaries:</b>	<b>Frequency</b> (check one)
<p><b>Plan assessment</b> Assist in review of the plan’s goals and objectives and any potential changes to its provisions (such as adding automatic enrollment, setting a QDIA, changes to investment menu, etc.)</p>	Annual Semi-annual Quarterly As needed
<p><b>Investment menu review</b> Assist in review of the investment options in the plan’s current menu to help you determine if they provide a broad range of investment alternatives as outlined by ERISA Section 404(c).</p>	Annual Semi-annual Quarterly As needed
<p><b>Investment Policy Statement (IPS) review</b> Assist in the review of your IPS to help you determine whether changes are appropriate in light of economic conditions or regulatory developments (If your firm does not currently have an IPS, we will discuss the reasons to have one and how to create an appropriate document).</p>	Annual Semi-annual Quarterly As needed
<p><b>Performance review</b> Assist in review of the performance of the investment options in the plan’s menu against your goals and relevant industry benchmarks to help satisfy the procedural prudence requirements for fiduciaries under ERISA.</p>	Annual Semi-annual Quarterly As needed
<p><b>Service/fee inventory</b> Conduct an inventory of plan services and the fees associated with them, in keeping with Form 5500 reporting requirements and 408(b)(2).</p>	Annual Semi-annual Quarterly As needed
<p><b>Investment committee review</b> Assist committee in obtaining investment information and in setting a formal process for decision-making and documentation of meetings and outcomes.</p>	Annual Semi-annual Quarterly As needed
<p><b>Education review</b> Develop a customized Education Policy Statement that reflects the educational needs of employees and plan participants, including a process to assess the effectiveness of recent educational initiatives and to plan for future educational programs.</p>	Annual Semi-annual Quarterly As needed
<p><b>408(b)(2) Disclosure Review</b> Discuss understanding of 408(b)(2) regulations and communication of regulations with the plan committee and/or team. Review plan and investment fees and obligations to make sure those fees meet the standard of “reasonableness.”</p>	Annual Semi-annual Quarterly As needed

**For Financial Professional use with plan sponsors.**

INVESTMENT PRODUCTS: NOT FDIC INSURED • NO BANK GUARANTEE • MAY LOSE VALUE

<b>Service Offering</b> (check if offered)	
<b>For fiduciaries:</b>	<b>Frequency (check one)</b>
<b>Fee Policy Statement review</b> Review fees allocated to various constituents.	Annual Semi-annual Quarterly As needed
<b>For plan participants:</b>	<b>Frequency (check one)</b>
<b>Enrollment meetings</b> Conduct enrollment meetings and provide supporting materials that encourage employee participation and equip your employees to make informed decisions.	Annual Semi-annual Quarterly As needed
<b>Education seminars</b> Organize and conduct educational seminars for participants, covering topics such as principles of asset allocation or planning for life in retirement.	Annual Semi-annual Quarterly As needed
<b>404(a)(5) Participant disclosure</b> Distribute required disclosure communication.	Annual Semi-annual Quarterly As needed
<b>For Human Resources (HR)</b>	<b>Frequency (check one)</b>
<b>ERISA 404(c) disclosure review</b> Help HR confirm that appropriate disclosures and informational items are being distributed to participants in accordance with ERISA Section 404(c).	Annual Semi-annual Quarterly As needed
<b>Support for plan participation</b> Provide communication materials that reinforce the importance of the plan as a tax-advantaged savings vehicle and the value of ongoing contributions to the plan.	Annual Semi-annual Quarterly As needed
<b>Investment education materials</b> Provide communication materials that address overall investment principles and encourage prudent investment decision-making.	Annual Semi-annual Quarterly As needed
<b>404(a)(5) Participant disclosure</b> Distribute required disclosure communication.	Annual Semi-annual Quarterly As needed
<b>408(b)(2) Disclosure review</b> Discuss understanding of 408(b)(2) regulations and communication of regulations with the plan committee and/or team. Review plan and investment fees and obligations to make sure those fees meet the standard of "reasonableness."	Annual Semi-annual Quarterly As needed

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