

## Prospective Retirement Interview

*Plan Name or Employer:* \_\_\_\_\_ *Date* \_\_\_\_\_

### Have to have:

Current Vendor: (Investment Company and TPA if applicable) \_\_\_\_\_

Amount of Current Assets: \$ \_\_\_\_\_

Annual or Monthly deposit: \$ \_\_\_\_\_

Number of Participants: \_\_\_\_\_

Is there any sort of surrender fee/charge if the plan sponsor decides to terminate the contract with current vendor? (Please note or attach)

List of investment funds available to plan participants (or attach list)

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Current plan design: (Circle all that apply)

401(k)	Profit Sharing	Money Purchase	403(b)	SEPP
Defined Benefit	457	TSA		

### Would like to have:

1. List of investment funds available to plan participants **with** amount of assets in these investments? Look at quarterly/annual employer report that outlines how much is in each fund, secondarily, include copy of enrollment materials. Also, please confirm, “share classes” on funds available if known. This is needed in order to compare investments and to see how many current funds can be duplicated.
2. Copy of plan document or the summary plan description. (Assure understanding of plan provisions.)
3. Copy of fee schedule with current vendor
4. Copy of most recent 5500.
5. Copy of current vendor’s participant statement.

# Common Issues in Managing a Retirement Plan

Please circle 1 (in control)  
through 10 (needs improvement)

## Investment Options

Current Lineup has outperformed mutual fund averages	1	2	3	4	5	6	7	8	9	10
Expense ratios reviewed vs. mutual fund averages	1	2	3	4	5	6	7	8	9	10
Number of investment choices is meeting employee needs	1	2	3	4	5	6	7	8	9	10

## Plan Expenses

Expenses have been benchmarked vs. other products	1	2	3	4	5	6	7	8	9	10
Plan expenses decrease as assets increase	1	2	3	4	5	6	7	8	9	10

## Employee Education

Employees understand their risk tolerance	1	2	3	4	5	6	7	8	9	10
Employees have access to an investment counselor to review decisions	1	2	3	4	5	6	7	8	9	10
Annual investment seminars are provided for all employees	1	2	3	4	5	6	7	8	9	10

## Compliance

Plan sponsor fully understands fiduciary responsibilities under the plan	1	2	3	4	5	6	7	8	9	10
Additional non-qualified opportunities are available to key employees	1	2	3	4	5	6	7	8	9	10

## Plan Administration

Daily administrative tasks are burdensome	1	2	3	4	5	6	7	8	9	10
Distribution/loans are processed within 10 working days	1	2	3	4	5	6	7	8	9	10
Employee reports are generated within 20 working days	1	2	3	4	5	6	7	8	9	10
Plan contributions and employee data are sent electronically	1	2	3	4	5	6	7	8	9	10

What items work best in your current plan?

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What items would you have done differently/what items can be improved upon?

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