

# 401(k) PROFESSIONALS

As a plan sponsor of a qualified retirement plan, what are you doing to enhance investment opportunities for employees? What are you doing to increase participation? What are you doing to protect yourself from fiduciary liability?

401(k) Professionals is the industry leader in providing focused, full-service defined contribution consulting services to employers looking for efficient, effective solutions needed to maintain a highly successful retirement plan.

## “Creating Ongoing Successful Retirement Plan Experiences for Employers and Employees.”

**401(k) Professionals** is a group of dedicated specialists focused solely on delivering retirement plan consulting services. We help our wide-ranging clientele meet their ERISA fiduciary responsibilities, and advise plan sponsors on how to best protect themselves from personal and corporate financial liability. We empower plan participants to establish and monitor their own retirement plan assets, through a selection of professionally managed investment opportunities, that enable them to meet their personal retirement goals.

From investment analysis and due diligence to employee communications and vendor fee benchmarking, our process-driven solutions and services enable employers to deliver and monitor a highly successful 401(k) plan, while increasing investment opportunities and improving overall plan value.

### Maximize Plan Efficiency

Every plan sponsor has unique goals and objectives. As your dedicated consultant, 401(k) Professionals will create an ongoing **service plan** specific to your needs.

The service cycle begins with a thorough review of your plan to ensure total plan costs are relevant to the services being received. On an ongoing basis, your relationship manager will examine your **plan design** with ideas to improve participation and operational efficiency.

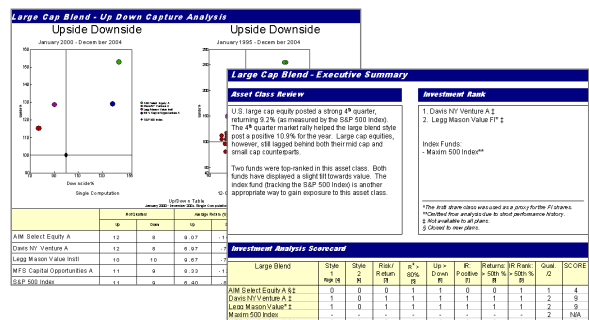
- Vendor Benchmarking Analysis™
- Provider contract review
- Provider pricing re-negotiation
- Plan conversion guidance
- Plan design analysis and *Plan Review™*
- Compliance checklist

### Protect Against Loss

401(k) Professionals helps navigate fiduciary responsibility through robust, systematic, quantitative and qualitative **investment analysis** involving over 150 pages of detailed reports utilizing 15+ industry standard analytical measurements.

Our due diligence process goes far beyond the *Morningstar* 5-star ratings and instead focuses on a cyclical approach of fund selection, monitoring, and ongoing documentation and review.

- Investment Policy Statement
- *Fiduciary Investment Review™*
- *Scorecard™* fund ranking
- Quarterly Market Summary
- 404(a) / 404(c) guidance
- Customized online report access



Sample Investment Report Excerpts

