

A 3 Minute Survey

The first step in enhancing your company's
401(k)/Retirement Plan Program



Administration:

1. Are you happy with the administration of your 401(k) plan? **YES NO**
2. How often do your employees receive statements? Are they delivered on a timely basis? Are they accurate? **YES NO**
3. Does your administrator provide an 800# and/or website to your employees? **YES NO**
4. Is your administrator easily available to provide clear, accurate answers to your company? **YES NO**
5. What are the annual administration costs of your plan? **YES NO**
6. Does your administrator provide complete 5500 filings-signature ready? Is there an additional charge? **YES NO**
7. Do your highly compensated employees get to defer as much as they would like into the plan? **YES NO**

Employee Communications:

8. Are you satisfied with your current level of employee participation in your plan? **YES NO**
9. What forms of communication do your employees receive other than statements? **YES NO**
10. Are you confident that your employees clearly understand and appreciate your plan? **YES NO**
11. Have your employees received any investment education to help them with their decision? **YES NO**

Investments:

12. How many investment options are offered in your plan? Would you like to add other choices? **YES NO**
13. Are you satisfied with your plans investment returns? **YES NO**
14. How often can your employees make investment changes? **YES NO**
15. Are you familiar with the Department of Labor's regulations of 404(c)? Have you considered how these regulations may affect your plans investment choices? **YES NO**

Next Stop:

16. Would you like a formal proposal showing how we might improve your plan? **YES NO**