

The logo consists of the text 'Fi360' in a white, sans-serif font, centered within a white square border. The background of the entire image is a gradient from orange at the top to red at the bottom.

Fi360

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Today's Presenting Sponsor



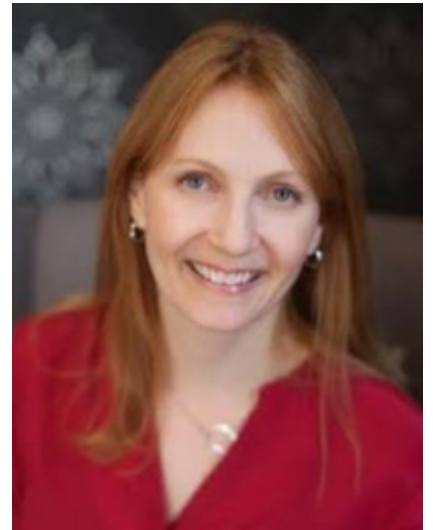


How Successful Advisors Conduct The Annual Retirement Plan Review



Our Panel of Experts

- Ken Schlosser, Relationship Manager
- Kristen Solo, Senior Attorney
- Jason Richmond, Senior Regional Investment Consultant
- Moderator: Mary Gordon, National Accounts Sales Manager



Advisor Annual Must-Do Review



Retirement Plan Committee Documentation



Investment Policy Statement



Investment Monitoring Report



Plan Review



Compliance Calendar



Meeting Documentation (Meeting Minutes)



Plan Services and Fees

Retirement Plan Committee Documentation

- Committee Member Fiduciary Acknowledgement
- Summary of Committee Responsibilities
- Board Resolution, if applicable



Investment Policy Statement (IPS)

- Need to maintain, review and adhere to the IPS
- ERISA §404(c) requirements
- Qualified Default Investment Alternative
- Index funds



Investment Monitoring Report



**Economic
Overview**



**Investment Policy
Statement
adherence**



**Plan Assets
Review**



**Investment
Scoring Results**



**Additional
considerations**



**Investment change
paperwork**

Plan Review



Current Plan Provisions

- Eligibility/Entry
- Compensation
- Contribution Types
- Distributions
- Rollover
- Forfeitures



Plan Success

- Participation
- Deferral Percentage
- Account Balance
- Benchmarks
- Terminated Participants
- Web Usage



Consulting on possible plan implementation

- Change in Eligibility/Entry Dates
- Auto Enroll/Auto Escalate
- Loan Provisions
- Employer Contributions

Compliance Calendar

Annual
Census

Compliance
Testing

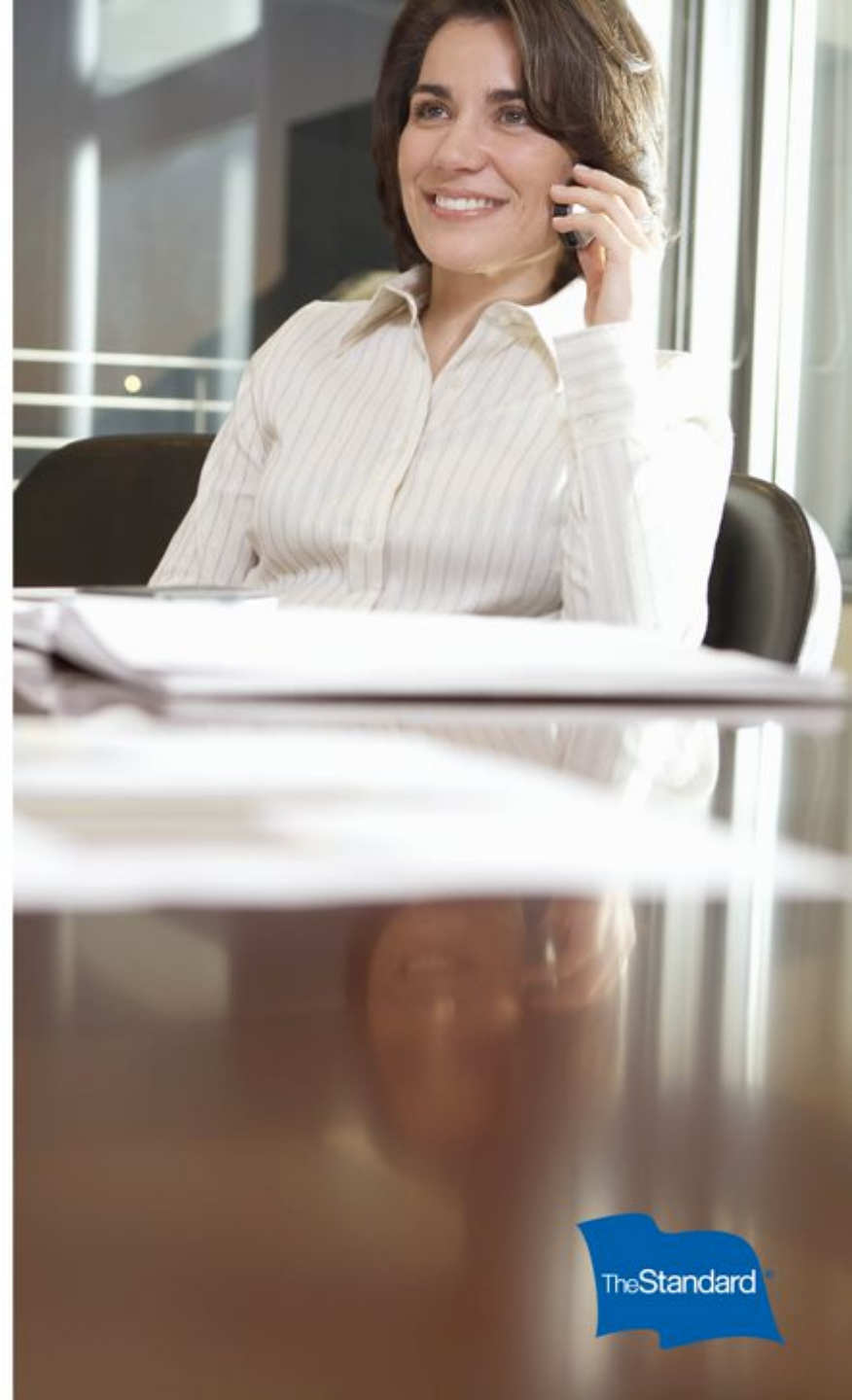
Form 5500

Audit

Delivery of
Required
Notices

Meeting Documentation (Meeting Minutes)

- Date/Time
- Attendees
- Approval of Prior Meeting Minutes
- Fiduciary Training
- Plan Review
- Investment Policy Statement Confirmation
- Investment Monitoring Report
- Any Additional Conducted Review



Review of Plan Services

- Advisor Services Calendar
- Recordkeeper or TPA Services



- Investment Policy Statement
- Investment Monitoring Report
- Plan Review
- Compliance Calendar

Participation is a key indicator of your plan's overall health. By evaluating your plan against the national average, you can quickly see how your plan compares and if any plan design changes may further increase engagement.

Plan Contribution Detail

	2015	2016
Participation rate	93%	91%
National average*	78%	N/A
National average by number of employees*		

Range

% Contributing

Range

How confident are you that your workforce is ready to retire? Participants may need to replace more than 80 percent of their income in retirement. This information allows you to analyze the year-over-year growth in your plan as compared to national averages.

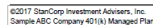
What steps can be taken to increase the health of the plan, such as targeted educational campaigns, online tools or other resources?

2015	2016			
\$34,433	\$37,350			
\$4,345	\$4,560			
\$96,288	N/A			
**				
31 to 40	41 to 50	51 to 60	61+	
\$15,184	\$70,081	\$86,016	\$64,781	
93%	90%	92%	100%	

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\$30 - \$50	\$50 - \$75	\$75 - \$100	\$100 - \$125	\$125+
\$58,819	\$61,177	\$150,550	\$67,866	\$535,581
96%	87%	63%	67%	100%

aves 2016* survey



Questions?

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