



Five Point 401(k) Check-Up

Retirement Plan Review

Fiduciary advisor services provided by

401(k)
PROFESSIONALS

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Confidential plan questionnaire

Please complete this confidential questionnaire prior to your Retirement Plan Review. The purpose of this review is to help you evaluate the level of services and expertise you are receiving from your current broker or provider.

Name _____

Company telephone _____

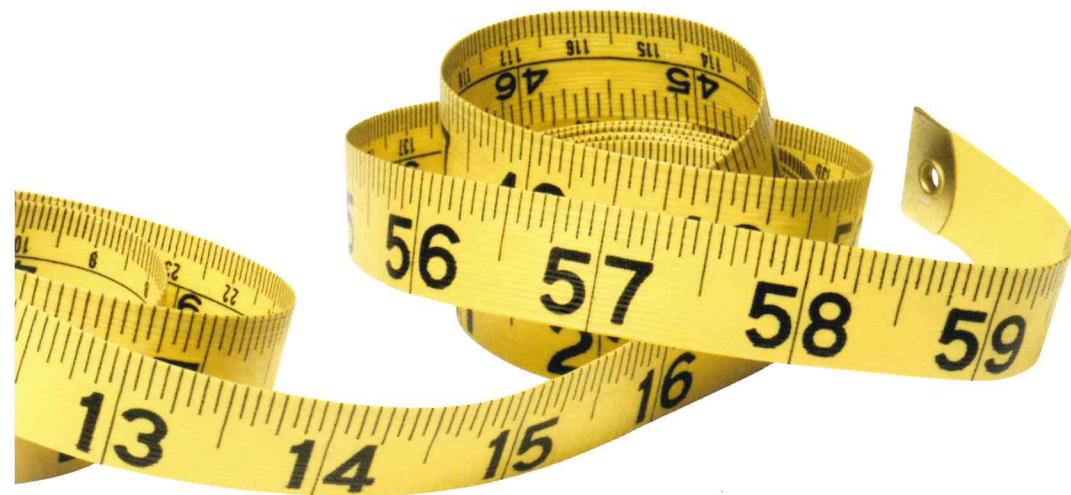
Fax _____



What were the determining factors in choosing your current retirement plan provider?

Other than the placement and purchase of your retirement plan, describe the additional services you receive from your current plan provider:

What do you value most in your current plan provider relationship?



Participant education

Does your plan:

- | | | |
|---|-----|----|
| ■ Maintain a formal participant education program? | YES | NO |
| ■ Conduct and document annual reviews of the education program? | YES | NO |
| ■ Have regularly scheduled participant enrollment and education meetings? | YES | NO |

Plan fees and expenses

- | | | |
|--|-----|----|
| ■ Do you know how much you're paying in administrative fees? | YES | NO |
| ■ Are you confident of what investment-based expenses you're paying? | YES | NO |
| ■ Do you conduct and document a periodic review of all fees? | YES | NO |

Plan design and administration

- | | | |
|--|-----|----|
| ■ Are you being made aware of new plan design options on a timely basis?
(safe-harbor, cross testing, catch-up, etc.) | YES | NO |
| ■ Are HCEs aware of and satisfied with the amount they can contribute? | YES | NO |
| ■ Are plan-related testing and reporting being done on a timely basis? | YES | NO |

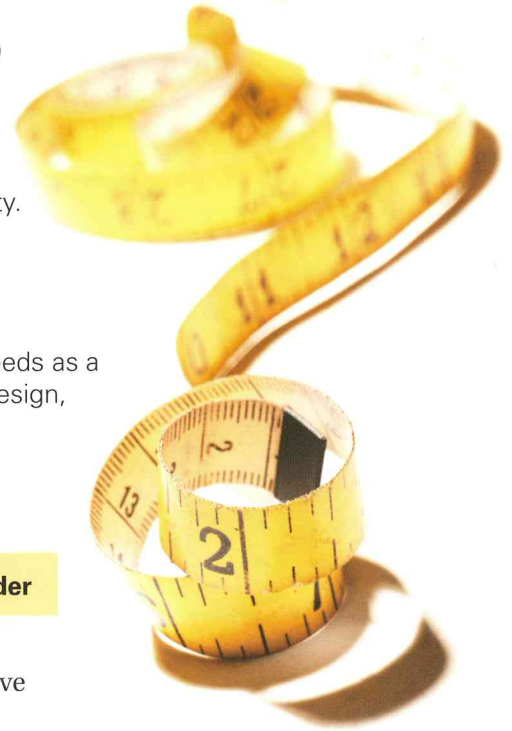
Investment portfolio

- | | | |
|--|-----|----|
| ■ Do you conduct and document an annual investment portfolio review? | YES | NO |
| ■ Are you receiving a third-party analysis of investment management? | YES | NO |
| ■ Do you have, maintain and follow an Investment Policy Statement (IPS)? | YES | NO |
| ■ Do you offer strategic or lifestyle portfolios (managed accounts)? | YES | NO |

Fiduciary responsibilities

- | | | |
|---|-----|----|
| ■ Do you maintain a fiduciary file with documentation of all reviews? | YES | NO |
| ■ Do you know who your plan fiduciaries are? | YES | NO |
| ■ Do the fiduciaries know their responsibilities? | YES | NO |
| ■ Do you have independent oversight for key plan areas? | YES | NO |

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Basically, there are two types of retirement services plan providers:

Vendor The total focus is product and price; programs are a commodity. Few services other than the placement of the retirement program are provided.

Trusted Provider The focus not only includes product analysis, but also provides a comprehensive range of services that fulfill your needs as a plan sponsor, including participant education programs, plan design, investment oversight and fiduciary reviews.

How would you rate your relationship with your retirement plan provider?

Vendor	1	2	3	4	5	6	7	8	9	10	Trusted Provider
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What are some aspects of your current plan and plan-related services that you have concern with and would like to have addressed?

1. _____

2. _____

3. _____

Next Steps: _____
