



Client Service and Participant Education Timeline

Scheduled Touch Points for Meaningful Communication

As part of the first step in developing a communications program for you and your employees, I have included a timeline of both plan sponsor and participant events. We can use this timeline as a basis for creating an ongoing retirement plan maintenance program that is customized according to your needs and those of your employees.

Plan Sponsor Events		
Service Call	Mid-Year Investment Review	Annual Review
On this call, we have the opportunity to discuss operational issues or any other concerns you may have regarding the servicing of your plan. In addition, we can discuss current industry events.	This review focuses on the investment performance and participant usage of your plan. During our meeting, I will provide you with a performance and style analysis of the investments offered in your plan. At this time, you may want to discuss investment changes or additions for implementation at a later date.	During this comprehensive review, which may include the recordkeeper and administrator, we will discuss the progress of the plan, including both operational and investment-oriented results. Focus may be placed on changes at the plan sponsor level that may affect the servicing of the plan and/or enhancements to your retirement program.

Participant Events		
Initial Education	Follow-Up Educational Series	Future Enrollment Meetings
I will organize enrollment meetings to educate your plan participants on their new plan. If this is a conversion of an existing plan, I will furnish information regarding the conversion process, letting them know the decisions that they will have to make regarding their assets, explaining the basics of their new plan, and reviewing the “mapping” of investment options and asset allocation decisions.	In addition to enrollment meetings, I will organize follow-up, value-added educational meetings for plan participants that will focus on various timely topics, such as the importance of portfolio diversification and changes in the tax law that may affect retirement plan distributions.	As new employees become eligible to enroll in your retirement plan, I will organize enrollment meetings that will provide education on plan basics and investment options.

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Plan Sponsor Events

First Year

Fill in applicable dates in spaces provided	Service Call		Service Call		Mid-Year Investment Review		Service Call	
		Conversion						
	Initial Education		Follow-up Educational Series	Enrollment Meetings			Follow-up Educational Series	

Participant Events

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Plan Sponsor Events

Second Year

Fill in applicable dates in spaces provided			Annual Review			Service Call			Mid-Year Investment Review	Service Call		
	Enrollment Meetings			Follow-up Educational Series			Enrollment Meetings				Follow-up Educational Series	

Participant Events

Plan Sponsor Events

Third Year

Fill in applicable dates in spaces provided			Annual Review			Service Call			Mid-Year Investment Review	Service Call		
	Enrollment Meetings		Follow-up Educational Series			Enrollment Meetings				Follow-up Educational Series		

Participant Events