



1

Financial Advisor

- Provides ongoing plan servicing & investment oversight
- Offers investment oversight and due diligence
- Provides participant education
- Provides Plan Sponsor with periodic review



2

Recordkeeper

- Responsible for Participant/Sponsor website, statements, and service
- Offers a broad investment platform available to the retirement plan
- Provides ancillary services such as 3(21), managed accounts, and diversified investments
- Supports advisor in the delivery of their services locally and nationally



3

Retirement Plan / ERISA Consultant

- Designs custom plan document to meet the goals of the Plan Sponsor
- Provides highly experienced and dedicated consultants
- Conducts compliance testing and government reporting
- Offers ongoing plan operational guidance and consulting



4

Plan Sponsor

- Acts in the best interest of plan participants
- Accountable for overseeing the plan's overall compliance
- Conducts periodic review of fees and services provided
- Verifies that plan design meets the goals of the company