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Prepping for Q1: High-Impact Topics for Retirement Plan Committees

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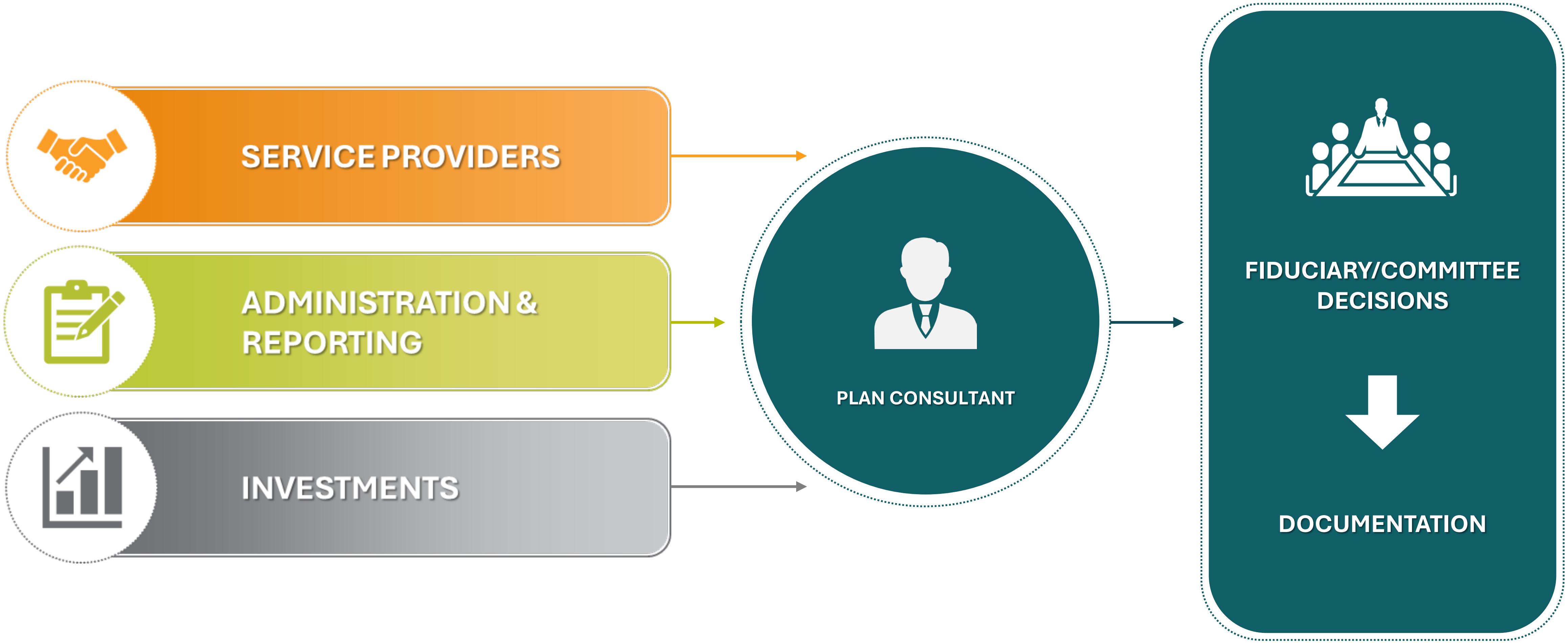
Overview of
Plan Governance



Service Providers

- Needs Assessment
  - Changes to participant data, demographics, etc.?
  - Opportunities to outsource investments, administration, etc.?
- Discuss benchmarking results
- Reconcile Payments

Administration & Reporting

- Forfeitures process and plan
- Roth catch-up procedures and communications
- Review future deadlines and deliverables

Investments

- Expansion of investment universe (e.g., retirement income, alternatives, etc.)
- Review IPS & QDIA
- Monitor investments & investment managers

Plan Governance

- Assess committee and its effectiveness
- Plan to train new members
- Fiduciary file review - does it reflect the prudence involved (see e.g., Wanek et al. v. Russell Investments Trust Co. et al.)?

Our Capabilities

PENSION RESOURCE INSTITUTE

- Configurable plan & rollover compliance forms (i.e., agreements, disclosures, policies, etc.)
- Supervisor & advisor training
- Rule monitoring & automatic updating
- Client-facing resources & communications
- Unlimited consulting

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- Retirement Practice SWOT Analysis
- Expansion of In-Plan Services (e.g., Managed Accounts, Financial Wellness)
- Support of Out-of-Plan Services (e.g., Convergence Strategy, Rollovers)
- Alternative Asset Class Procedural Prudence (Private Equity, Crypto, Lifetime Income)
- Corrections

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