

MAKING YOUR PLAN WORK



Implementing the Plan:

- *Help your employees understand the importance of plan participation and key investing principles*
- *Simplify the day-to-day administration of your plan*
- *Leverage advanced technology to streamline your recordkeeping*

Financial Representative

Your Financial Representative is often referred to as the 'quarterback' of the process. The Financial Representative will be the primary educational contact with the plan participants and Trustee's and will meet periodically to provide information that will help the Plan Sponsor meet their obligations to your employees.

Recordkeeping Services

Recordkeeping services embody the delivery of the participant experience. Recordkeeping may be provided in conjunction with the administrative services.

Administration

You benefit from the experience of a TPA firm – your primary point of contact. TPA firms truly understand the market and can effectively focus on plan administration and year-end compliance. The TPA is responsible for assisting with the administration and compliance testing of your plan.

Settlement & Clearing

The benefit of open architecture is the ability to utilize funds from various mutual fund families. There is not one fund family that can boast the best fund in each asset class. In open architecture fund inclusion is based on the individual merit of each fund. Settlement & Clearing is at the core of open architecture and is the technology that affords same-day exchanges between each separate fund complex.