Are you affiliated with a BD?	Yes ☐	No ☐
Do you partner with external retail advisor teams to sell qualified plans?	Yes ☐	No ☐
If you are part of a larger organization, do you cross-sell or "hunt" with others inside?	Yes ☐	No ☐
If you are part of a larger organization, do you manage your own, **separate brand**?	Yes ☐	No ☐
Are you part of the Retirement Advisor Council?	Yes ☐	No ☐
Are you part of FI360 – now Broadridge Retirement and Workplace?	Yes ☐	No ☐

What is your business model?	☐ Independent or dually registered IRA	☐ Fee-Only RIA	☐ Bank/Wirehouse Affiliated FA	☐ Insurance Company Rep
How many offices do you operate out of?	☐ Single	☐ Multiple – how many?		
Did you join a larger firm within the last 3 years?	Yes ☐ No ☐	If no, have you considered merging with another firm?	Yes ☐ No ☐	
If yes, how are you operating today:	☐ Completely independent, retaining my own brand, decisions and resources ☐ Somewhat independent, retaining my own brand and decisions, with services of the larger organization ☐ Fully integrated into the new business, leveraging the larger brand, decisions and all shared services ☐ Other, please describe			

Which of the following <u>business tactics</u> do you employ in your business?

- ☐ written sales plan for retirement
- ☐ written marketing plan for retirement
- ☐ minimum asset size for new business
- ☐ Insurance covering you as plan fiduciary
- ☐ written succession plan for retirement
- ☐ buy/sell agreement
- ☐ business continuity plan
- ☐ cyber security plan
- ☐ professional liability coverage

Which of the following <u>profitability tactics</u> do you employ in your business?

- ☐ track profitability by client
- ☐ formally segment client base (A clients get xx; B get xx, etc.)
- ☐ track and record time spent on each client
- ☐ have an hourly bill back rate to clients
  If yes, what is your partner rate? Non-partner rate?

Which of the following <u>client experience tactics</u> do you employ in your business?

- ☐ conduct win/loss reviews with an external firm
- ☐ conduct an annual online client feedback survey
- ☐ client advisory board
- ☐ written strategic relationship plan and goals (what you will specifically accomplish in the upcoming year)?
- ☐ continuous online feedback survey
- ☐ conduct a phone/interview survey
- ☐ ask clients for referrals
- ■ provide a written needs assessment document to clients (identify specific goals/metrics for plan/participants)?

Which of the following <u>benchmarking</u> do you provide for your clients?	Total Plan Fees	☐ To all	☐ To Some	☐ No
	Advisory Fees	☐ To all	☐ To Some	☐ No
	Plan Metrics	☐ To all	☐ To Some	☐ No

What percentage of time do your principals/practice leaders spend on the following: (Should total 100% of time)	% Marketing % Sales % Client Service % Operations ____% <u>Others</u> 100%

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Which of the following **fiduciary services** does your business offer?				**Client Use (choose one)**
ERISA 3(21)	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
3(38) Investments	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
3(38) For Custom Models	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	<50%
Fiduciary to Participants	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	<50%
3(16) Administrative	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	None
Fiduciary Training for Committee	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All

Which of the following **investment services** does your business offer?				
Menu Design	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
IPS Development	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
Compliance Oversight	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
BD Model Portfolios	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	<50%
In-Plan Retirement Income	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	None
Target Date Funds	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
CITS	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
Managed Accounts	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	None
Other, describe	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	None

Which of the following **consulting services** does your business offer?				
Plan Design Consulting	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
Vendor Fee/Service Benchmarking	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
Vendor Issue Resolution	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
Plan Data Clean up	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
Vendor Search	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
Vendor Transition Support	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
ESOP Consulting	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	None
HSA Consulting	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	<50%
Total Benefits Consulting	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	None
M&A Services	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	None
Regulatory Services	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All
ERISA Services	❑ No	❑ Yes, Bundled	❑ Yes, Separate Fee	All

What is your total DC AUA: $
What is your total DC revenue: $
What is the total number of DC plans you manage:

How many staff in your DC practice:
How many principal/producers:
How many of your staff are people of color:
How many staff are under 30 years old:
How many of your staff are women:
How many are “career change” producers:

Will you provide fee schedules for 10 or more sponsors?
Yes ☐ No ☐

Can we interview you about how you manage your practice?
Yes ☐ No ☐

Will you complete the rest of this survey, which will require an additional 1 hour of your time and detailed revenue, staffing metrics and client experience metrics?
Yes ☐ No ☐

Thank you! Your survey responses have earned you a complimentary copy of the detailed report when it is completed.
Please provide contact information to register and receive the final report.

Name: **Email:** **Phone:**