What percentage of your practice revenue is derived from (totals 100%):	% DC Plans	% DB Plans	% Wealth Management	% Employee Benefits	% Foundations & Endowments

How many retirement plans do you currently advise by plan type?	401(k)	403(b)	DB
<$1M			
$1m up to $4.9m			
$5m up to $9.9m			
$$10m up to $24.9m			
$25m up to $49.9m			
$50m up to $99.9m			
>$100m			
Total Plans			

How many total sponsor clients (not number of plans) did you have in the last two years? For example, a plan sponsor with a DB and DC plan is one.	Total Clients	+ Added and - Lost
10/1/2023		
12/31/2022		
12/31/2021		

Please provide the following business profile information about your retirement book of business. Include retirement plans you currently advise on (e.g., exclude one-time project relationships).

Total Retirement AUA as of 10/1/2023	$
Smallest DC Plan Asset Size	$
Largest DC Plan Asset Size	$
Total DC Plan Participants	#
Gross 2022 Retirement Revenue	$
Anticipated 2023 Retirement Revenue	$

What percentage of your book is charged the following fee types?

Fee Type	**Percentage of Plans**	**Fee Type**	**Percentage of Plans**
Per Participant	%	12b1 or TA fee	%
Flat Fee	%	Paid by Plan Sponsor	%
Project Based Fee Only	%	Paid by Participants	%
Asset Based	%	ERISA Reimbursable Account	%
	100 %	**Total**	**100** %

What is your biggest challenge related to fees & services?

If you are affiliated with a BD, which services do you receive and how much do you value them?	Not Important				Very Important
☐ Compliance Support	○	○	○	○	○
☐ Fiduciary Support	○	○	○	○	○
☐ Tools (e.g., software, reporting)	○	○	○	○	○
☐ Marketing	○	○	○	○	○
☐ Social Media Content	○	○	○	○	○
☐ Investment Analytics	○	○	○	○	○
☐ Education/Training	○	○	○	○	○
☐ Practice Management	○	○	○	○	○
☐ Legal Support	○	○	○	○	○
☐ Technology Support	○	○	○	○	○
☐ Insurance	○	○	○	○	○
☐ Licensing	○	○	○	○	○
☐ Others, List	○	○	○	○	○

What percentage of your gross revenue goes to each:

Category	Revenue Percentage
Broker Dealer Take	
Business Owner Take/Compensation	
Staff Salaries	
All Other Expenses	
Business Margin	
Total	100 %

Please email fee schedules for 10 different DC plans to robin@winmoreplans.com

1. Advisor fee amount (basis points or flat fee)
2. Frequency of investment reviews (Annual, bi-annual, quarterly, other)
3. Number of participant education meetings included in your fee
4. State where the business operates

We will accept your fee schedules in any existing format you may have, or you may provide the above information for 10 different plans in this area:

How many full-time retirement-plan specialists are on your team?	Number of People	Years Retirement Experience e.g, 11, 14	Years Tenure with Your Team for Each e.g., 5, 3	Account Load for Each	Total Cash Compensation for each e.g, $59k, 120k
Principal/Practice leader					
Other Advisor/FA					
Relationship manager / client service					
Investment analyst					
Participant educator					
ERISA/Compliance					
Operations/Client Support					
Administrative Support					
Other, describe					

	Role	Year	Reason for Hire	Source (Referral, colleague, job posting, industry event, etc.)
What role(s) did you hire last?				
What role(s) will you hire next?				

Do you use outsourced staffing for any of these roles?

HR	☐ Yes ☐ No	ERISA/COMPLIANCE	☐ Yes ☐ No
Book keeping	☐ Yes ☐ No	Marketing	☐ Yes ☐ No
IT	☐ Yes ☐ No	Other, describe	☐ Yes ☐ No

Do you employ interns? ☐ Yes ☐ No

What metrics do you use to determine when to hire?	Not Important				Very Important
Financial indicators (e.g. revenue, expense, profit)	○	○	○	○	○
Current staff capacity	○	○	○	○	○
Assets under advisement (AUA)	○	○	○	○	○
Number of plans / clients	○	○	○	○	○
Number of participants	○	○	○	○	○
Gaps in current skills / capabilities	○	○	○	○	○

What is your biggest challenge related to team structure and/or staffing?

Which of the following Sales & Marketing collateral do you employ in your business?

- ☐ white papers
- ☐ pitch books
- ☐ team brochure
- ☐ case studies
- ☐ newsletters
- ☐ blogs
- ☐ others, please describe:
- ☐ none of the above

What elements are in your sales / marketing plan?

- ☐ Annual sales goals & success measures
- ☐ Sales time management
- ☐ Monthly prospecting activity goals
- ☐ Revenue forecast by product
- ☐ Referral source development activity
- ☐ Marketing activity

Which of the following campaigns do you employ in your business?

- ☐ internal cold calling, annual volume:
- ☐ external appointment setting, annual volume:
- ☐ direct mail, # of campaigns:
- ☐ email, # of campaigns annually:
- ☐ client/group events, # annually:
- ☐ Partner with Centers of Influence, # annually:
- ☐ social media, # of campaigns annually:
- ☐ webinars/webcasts, # annually:
- ☐ Plan reviews, # annually:
- ☐ Seminars/speaking engagements, # annually:
- ☐ Meeting with referral sources, # annually:
- ☐ 1:1 new prospect meetings, # annually:
- ☐ Trade association events, # annually:

Estimate how many total **hours per month** you and your team spend on these efforts:

_____Marketing (Broad efforts to build your pipeline)
_____Referral source efforts
_____Direct prospecting plan sponsors
_____Progressing active opportunities

Do you have asset sizes or minimum revenue thresholds for new business? Yes ☐ No ☐

Describe asset minimum: Describe revenue minimum:

How many qualified opportunities do you currently have in each stage of your pipeline?

_____# Early (Qualified, but not actively searching)
_____# Mid (Looking, but not ready to buy)
_____# Late (Actively buying)

Do you partner with external retail advisor teams to sell qualified plans? Yes ☐ No ☐

The average split is _______% for me and _______% for partner

The most common workload/revenue arrangement is:

- ☐ I pay a finder's fee to my referral partners and handle all client responsibilities
- ☐ My team does a majority of client work and receives the majority of revenue
- ☐ We split revenue and workload
- ☐ My partner does a majority of client work and receives the majority of revenue
- ☐ I receive a finder's fee and my partner handles all responsibilities
- ☐ Other, please describe:

Including wins, losses and undecided plans, how many total advisor presentations were you a part of, how many written RFPs did you respond to and how many new plans did you win?

	2022	2023
Wins		
Formal Finals Presentations		
Written RFP Responses		

What is your average hourly recovery rate: $
(Total # Employees x 2080 hours = Total staff hours)
(Total Annual Revenue / Total staff hours = Recovery Rate)

For each plan size where you have experience, how long does a typical opportunity take, from notification of opportunity to advisor selection? Choose One

<$1M	NA
$1m up to $4.9m	NA
$5m up to $9.9m	NA
$$10m up to $24.9m	NA
$25m up to $49.9m	NA
$50m up to $99.9m	NA
>$100m	NA

For each plan size where you have experience:

	# of Sponsor Meetings Per Year	#Days of Advisor-provided Participant Meetings Per Year	# of Hours Your Team Spends Servicing Annually	# of Team Members Assigned to Each Client
<$1M				
$1m up to $4.9m				
$5m up to $9.9m				
$$10m up to $24.9m				
$25m up to $49.9m				
$50m up to $99.9m				
>$100m				

How do you handle travel expenses for meetings with clients?
______% Directly pass back travel expense to clients
______% Estimate and include in annual price bundle
______% Pay travel out of a separate budget
______% Other, please describe
100% Total

Describe you per producer goals set and % of goal achieved for 2023 - in # of plans and new revenue $

Which of the following **participant services** do you offer?

- ☐ N/A, No participant education offer
- ☐ Partner with recordkeeper
- ☐ Partner with 3rd parties
- ☐ Group In Person
- ☐ Group Virtual
- ☐ 1:1 in person
- ☐ 1:1 virtual
- ☐ Pre-recorded, on demand
- ☐ Dedicated 1-800#
- ☐ Support in multiple languages

Financial Wellness Roles

Activity	**Who does this?**
Create Strategy	3rd Party
Sponsor Goal Setting	3rd Party
Select RK Services	3rd Party
Select 3rd Party Services	3rd Party
Create & Deliver Programs	3rd Party
Measure Success	3rd Party
Deliver Results to Sponsors	3rd Party

Rank These Topics

	LOW importance HIGH
Retirement	Unsure/NA
Financial literacy	Unsure/NA
Employee benefits	Unsure/NA
Healthcare/HAS	Unsure/NA
Broad set of topics	Unsure/NA
Other, describe	Unsure/NA

What is your biggest challenge related to managing clients?

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