fiduciaryk survey

Please score from 1 (lowest) to 10 (highest). If a question involves something not currently provided, please write N/A along with a score of your level of concern.

How concerned are you about your fiduciary responsibilities and ERISA liabilities? _____

How satisfied are you with the frequency that you hear from your financial advisor? _____

How satisfied are you with enrollment and educational meetings that your advisor conducts with employees? _____

How satisfied are you with the time and quality that your advisor spends with participants one-on-one for financial planning? _____

What is your level of concern for participant success? _____

How satisfied are you with your investment choices and investment performances? _____

How satisfied are you that your plan is being managed per your Investment Policy Statement? _____

How satisfied are you that you are getting good value (admin, reporting, investment choices, performance, etc.) for your plan costs? _____

How satisfied are you with your documented process for monitoring your current investments and fees as is required as the plan's fiduciary? _____

Please answer "Yes" or "No" to the following questions.

Do you currently have a 3(21) fiduciary? _____

Do you currently have a 3(38) fiduciary? _____

Would you like your participants to have better investment options, more education (even certification), so they can do better and be happier, safer, less likely to come after the company, and be better prepared for retirement? _____

Would you like participants to have a managed option, potentially better performance, spending less time determining investment decisions and focusing time at work on work? _____

Are you open to leaving your current provider? _____

Are you open to working with a new advisor? _____

Use the following space for any comments or additional concerns.

_____

_____

_____

Name _____ Title _____

Email _____ Phone _____

You may send this survey by USPS mail, scan and email to dale@focusedfinancialsolutions.com, or fax it to (303) 242-8208 for a free Retirement Plan Review. If email is selected, please put "Retirement Plan Review" in the subject line. Thank you for the opportunity to serve you.