

Benchmark the Plan Fees

This questionnaire and the retirement plan fee comparison benchmarking report generated from it can help you determine how the fees that a retirement plan pays compare to plans of the same size.

CLIENT NAME _____ ADVISOR NAME _____

	Your Client
What are the assets under management of your plan?	
<\$1 Million	<input type="checkbox"/>
\$1 – 5 Million	<input type="checkbox"/>
\$5 – 10 Million	<input type="checkbox"/>
\$10 – 25 Million	<input type="checkbox"/>
\$25 – 50 Million	<input type="checkbox"/>
\$50 – 100 Million	<input type="checkbox"/>
\$100– 200 Million	<input type="checkbox"/>

What is your industry?	
Agriculture, Forestry, Fishing and Hunting	<input type="checkbox"/>
Mining, Quarrying, and Oil and Gas Extraction	<input type="checkbox"/>
Utilities	<input type="checkbox"/>
Construction	<input type="checkbox"/>
Manufacturing	<input type="checkbox"/>
Wholesale Trade	<input type="checkbox"/>
Retail Trade	<input type="checkbox"/>
Transportation and Warehousing	<input type="checkbox"/>
Information	<input type="checkbox"/>
Finance and Insurance	<input type="checkbox"/>
Real Estate and Rental Leasing	<input type="checkbox"/>
Professional, Scientific and Technical Services	<input type="checkbox"/>
Management of Companies and Enterprises	<input type="checkbox"/>
Administrative and Support and Waste Mgmt and Remediation Services	<input type="checkbox"/>
Educational Services	<input type="checkbox"/>
Healthcare and Social Assistance	<input type="checkbox"/>
Arts, Entertainment and Recreation	<input type="checkbox"/>
Accommodation and Food Services	<input type="checkbox"/>
Other Services (except Public Administration)	<input type="checkbox"/>
Public Administration	<input type="checkbox"/>

What is your Total Plan Cost?	
The total cost of the plan includes all fees paid by the plan, the participant and/or the plan sponsor. This includes: fees from underlying investments, explicit fees on top of investment fees, other fees collected by plan service providers, fees for ancillary participant services (including managed account and SDA account services), and fee ‘treatments’ (e.g., flow of revenue sharing for participant credit, and utilization of ERISA spending account credit).	
	_____ %

What is your Total Recordkeeper Cost?	
The amount of money collected by the recordkeeper for delivery of services from all sources (e.g., wrap fees, revenue sharing and fees charged to the plan sponsor).	
	_____ %

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Your Client

What is your Total Money Manager Cost?

The amount of the total expense ratio paid to the money manager on a net basis after all revenue shares and other fund expenses are debited from the investment options expense ratio (Total Expense Ratio – Revenue Sharing - Fund Operating Costs). The total money manager cost comparison in this tool is an aggregate average of the database, by plan size and may include all types of investment options.

_____ %

What is your Total Advisor/Consultant Cost?

This represents the total compensation paid to the advisor or consultant for a plan of this size regardless of source (i.e., investments or plan sponsor).

_____ %

Do you use an ERISA spending account?

ERISA Spending Accounts are defined as plans whose bundled recordkeeper has returned monies collected in excess of revenue needs to the plan for use on plan-related expenses and plans where all plan-generated revenue is credited to the trust, from which service provider fees are paid.

yes
 no

Participant Success Measures:

Plan's Current Participation Rate	_____ %
Average deferral rate for non-Highly Compensated Employees	_____ %
Average deferral rate for Highly Compensated Employees	_____ %
Percent of participants maximizing company match	_____ %
Percent of plan assets in automatically diversified options*	_____ %
<i>*note: includes balanced funds, risk- or target-based retirement choices, model portfolios and managed accounts</i>	
Percent of eligible participants making catch-up contributions	_____ %
Percent of participants with a personal retirement goal	_____ %
Percent of participants on track to achieve that goal	_____ %
Percent of terminated participants not "cashing out"	_____ %

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