



RETIREMENT PLAN FACTFINDER

PREPARING A SOLID FOUNDATION



CONTACT INFORMATION

Los Angeles Office:
21301 Ventura Blvd., 12th Floor
Woodland Hills, CA 91364

Orange County Office:
114 Pacifica, Ste. 150
Irvine, CA 92668



01

Tell me about your **retirement plan.**

02

If we sat down one year from now, **what changes would make you happy?**

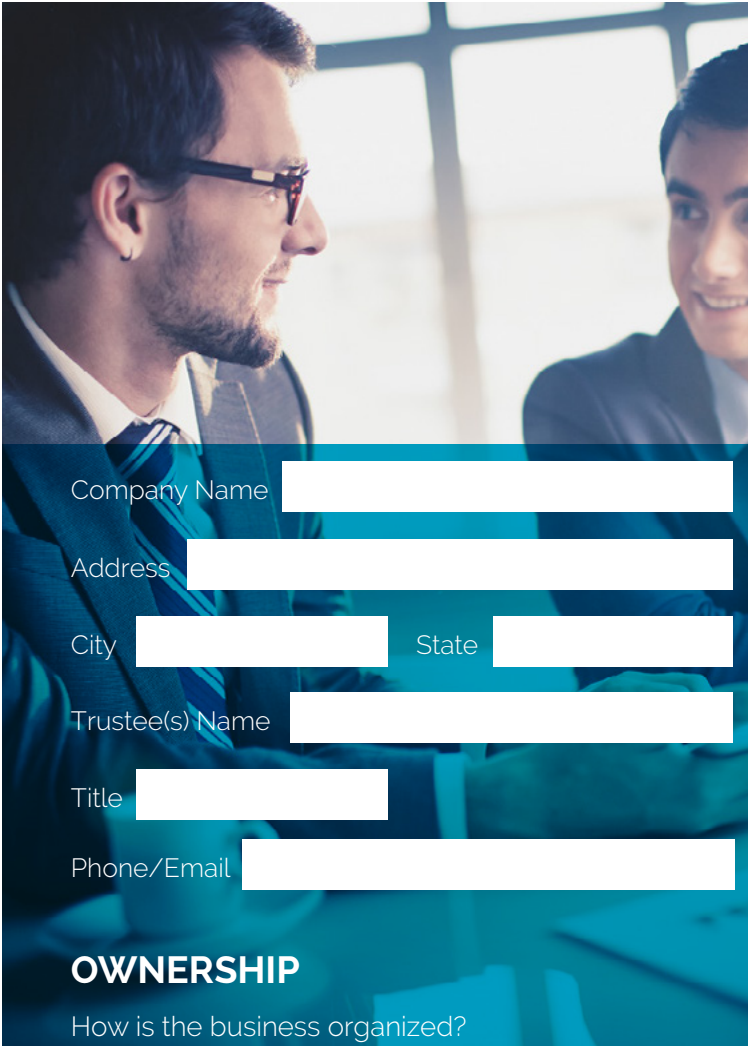
03

What do you **like** about it? **Dislike**?
(Website, education programs, service centers, investments, costs, support, communication, fiduciary process)

04

How do your **employees feel about the retirement plan?** Tell me about the participation of the plan.

UNDERSTANDING



Company Name

Address

City State

Trustee(s) Name

Title

Phone/Email

OWNERSHIP

How is the business organized?

- | | |
|--|--|
| <input type="checkbox"/> C-Corporation | <input type="checkbox"/> Government |
| <input type="checkbox"/> S-Corporation | <input type="checkbox"/> Sole Proprietor |
| <input type="checkbox"/> LLC | <input type="checkbox"/> Limited Partnership |
| <input type="checkbox"/> Non-Profit | <input type="checkbox"/> Other |

| OWNER(S) | PERCENTAGE |
|----------|------------|
| | |
| | |
| | |
| | |

List additional companies with common ownership:

Additional information:

PLAN INFORMATION

What type of retirement plan does your company offer? (Select all that apply)

- | | |
|---|--|
| <input type="checkbox"/> 401(k) | <input type="checkbox"/> Non-Qualified |
| <input type="checkbox"/> Profit Sharing | <input type="checkbox"/> Defined Benefit |
| <input type="checkbox"/> Safe Harbor | <input type="checkbox"/> Matching |
| <input type="checkbox"/> Money Purchase | <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> Cash Balance | |

PARTICIPANTS

How many employees are at the company?

How many employees are eligible to participant?

How many are participating in the retirement plan?

When are participants eligible to contribute?

Are there many terminated participants with assets in the plan? (yes/no)

On a scale of 1 – 10, how prepared to you think your employees are for retirement?

How would you get them on track for retirement?
