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Gather information from retirement plan prospects

When talking to a potential retirement plan client, use this worksheet to compile information that can help you meet the needs of the prospect.

Plan basics

Company name ______________________________

Home office address ______________ City ______________ State _____ ZIP ________

Plan sponsor/Contact name ______________________ Title ______________

Phone number ______________ Email address ______________________

Number of employees __________ Payroll provider ______________________

Does the company have multiple locations? No Yes – list locations

____

What are the employer's goals for the retirement plan?

____

Who does the employer want to pay plan costs?

- Employer – for whom plan costs are tax deductible
- Participants – through investment expenses or out of pocket
- Both employer and participants

Which, if any, retirement plan type(s) does the employer currently have?

401(k) Profit-sharing 403(b) 457(b) Defined benefit Other ______________

SIMPLE IRA SEP IRA

If none or only a SIMPLE IRA or SEP IRA, complete the new/startup plan section on the next page.
If any other, skip the first section on the next page and complete the rest of the worksheet.

For a new/start-up plan, complete this section and you're done.

For an existing/takeover plan, skip this section and complete the rest of pages 2 and 3.

Questions to ask an employer who wants to start a new plan

How many business owners and employees have at least 5% ownership of the company? ________________

Are there any employees that you would like to exclude from participation?

None   Union   Other ________________

Who do you want making contributions?

Employer only   Employees only   Both employer and employees

When you have this information, call Capital Group at (800) 421-9900 for sales support.

Questions to ask a plan sponsor with an existing plan

Plan documents

Ask the employer and/or third-party administrator for a copy of the most recent:

- 408(b)(2) service provider fee disclosure report(s) for plan sponsors
- 404(a)(5) participant fee disclosure report

Note: These documents contain valuable plan information – such as fees, assets and investments – and are essential in finding a solution that can best meet each sponsor's specific needs.

The Capital Group Retirement Plan Sales Team will guide you if additional information is needed, like for more complex plans.

General information

How many employees are eligible to participate? ____________ How many are currently participating? ________

What is the approximate value of … Plan assets? ______________ Annual contributions? ________________

What do you like about your current plan?

How is your current plan falling short of your needs or expectations?

Service providers

Who is the/Who provides:

Plan recordkeeper ______________________________

Plan administration/third-party administrator (testing, tax reporting, etc.) ______________________________

Fiduciary services (investment selection/monitoring, etc.) ______________________________

Investments

What do you like about the plan menu?

____

What do you not like about the plan menu?

____

Does the plan have a Qualified Default Investment Alternative (QDIA)?

No   Yes, it is: ______________________________

Plan participant experience

What do participants like about the plan?

____

What do they not like about the plan?

____

Next step: When you have this information, **call Capital Group at (800) 421-9900 for sales support**. We'll do everything we can to help you turn the prospect into a client.

Notes

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Capital Client Group, Inc.

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