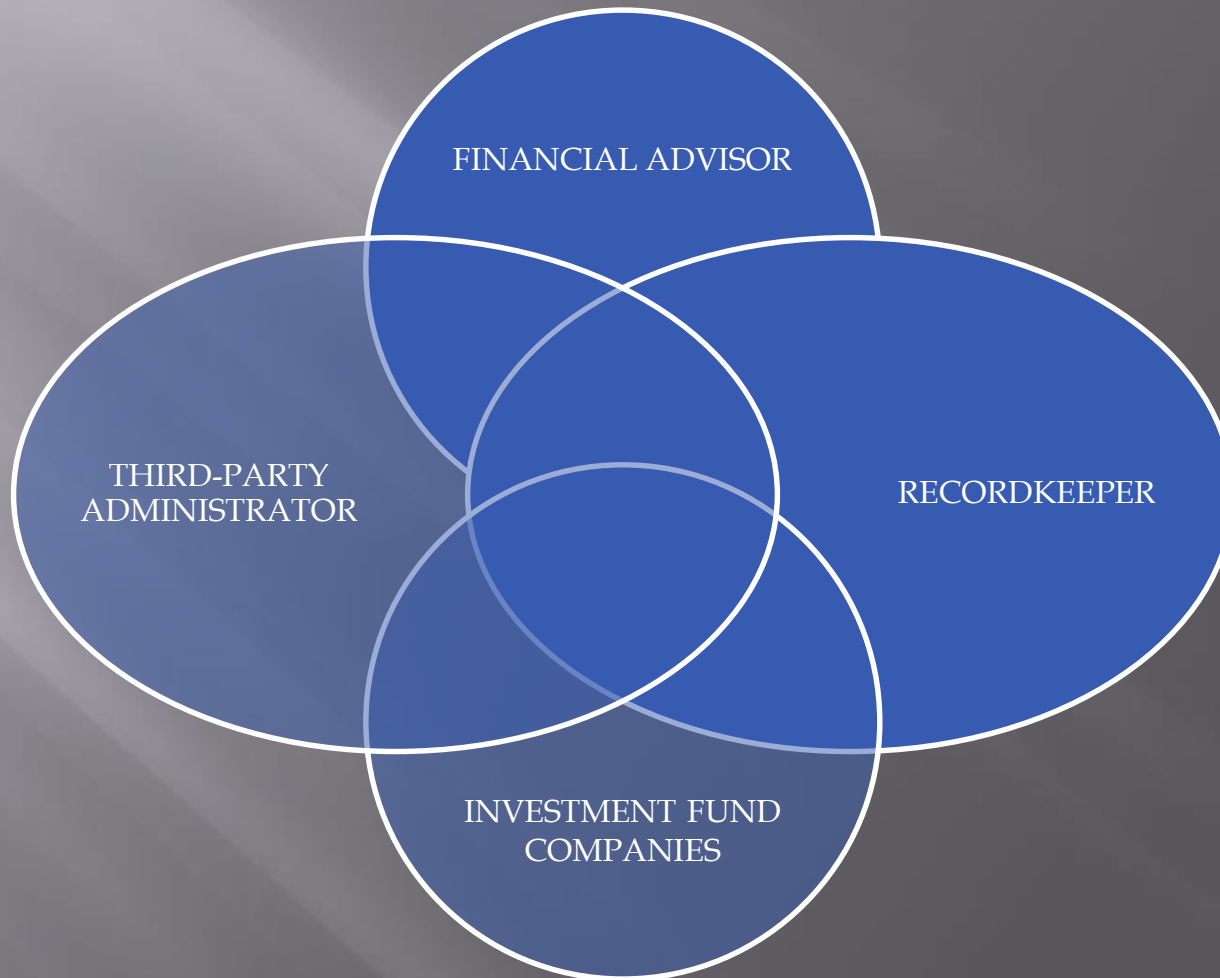


# KEY SERVICE PROVIDERS IN A QUALIFIED RETIREMENT PLAN

Bill Nesbitt  
Director of Sales & Operations  
Walker Benefits, LLC

# KEY SERVICE PROVIDERS

Choosing Experts in Each Key Area!



# FINANCIAL ADVISOR

## CORE RESPONSIBILITIES

- THE “QUARTERBACK”
  - OVERSEE ALL AREAS OF THE PLAN
- INVESTMENT MANAGEMENT
- EMPLOYEE ENROLLMENT
- EDUCATION
  - EMPLOYEE
  - EMPLOYER
- OUTSOURCE PLAN DESIGN AND ADMINISTRATION TO TPA

# RECORDKEEPER

## CORE RESPONSIBILITIES

- ASSIST IN MARKETING
- PLAN IMPLEMENTATION
- COMMUNICATE BENEFITS TO PARTICIPANTS
- REFLECT ALL PLAN ACTIVITY
- QUARTERLY REPORTING
- MANAGE TRADING ACTIVITY
- INVESTMENT MANAGEMENT
- EMPLOYEE EDUCATION

## EXAMPLES

- AMERICAN FUNDS
- EMPOWER (GREAT WEST)
- JOHN HANCOCK
- LINCOLN FINANCIAL
- MASS MUTUAL
- PRINCIPAL FINANCIAL
- VOYA (ING)

# INVESTMENT FUND COMPANY

## CORE RESPONSIBILITIES

- MANAGE INVESTMENTS HOLDING PARTICIPANT ASSETS

## EXAMPLES

- PRINCIPAL
- LEGG MASON
- FIDELITY
- FEDERATED
- VANGUARD
- AMERICAN CENTURY

# THIRD PARTY ADMINISTRATOR

## WALKER BENEFITS

### CORE RESPONSIBILITIES

- PLAN DESIGN
  - ELIGIBILITY
  - VESTING
  - SAFE HARBOR
  - PROFIT SHARING
- ADMINISTRATION
  - ANNUAL COMPLIANCE TESTING
  - TRANSACTIONAL-LOANS,  
DISTRIBUTIONS
  - CONSULTING - CLIENT AND ADVISOR
- FORM 5500
  - PREPARATION & FILING

# BRINGING IT ALL TOGETHER...

