



# PLAN PROFILE

## WELCOME TO FIDELIS FIDUCIARY MANAGEMENT!

We appreciate your interest, we look forward to serving your plan as an investment fiduciary and providing you with an up-to-date, customize investment menu.

Before we begin, there are several forms that need to be prepared and signed, but we want to make that process as easy for you as possible. We will complete all of those materials and send them to you ready for your review and signature.

Please provide us with the information on this Plan Profile so that we can begin preparing the start-up packet and move forward with supporting your plan investments menu.

Most of our clients are busy people and don't enjoy working through technical forms. If you e-mail or call us to set up a phone appointment time, we will guide you through every line of this form and explain any decisions or data requests that might be unclear.

## INFORMATION ABOUT YOUR COMPANY

Company Name (Legal name)

Plan Name

Company Tax ID

Corporate Structure	C Corporation	S Corporation	LLC	Other:
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Industry / Description

State of Incorporation

Plan Sponsor Mailing Address	Address 1			
	Address 2			
	City	State	Zip	

Executive Contact	Name:	Title:
	Phone Number:	E-Mail Address:

Administrative Contact	Name:	Title:
	Phone Number:	E-Mail Address:



**INFORMATION ABOUT YOUR PLAN**

Plan Name

Plan Tax ID

Plan Assets (Approximate)

Eligible Employees (Approximate)

Trustees or Authorized Fiduciaries

Plan Type	401(k)	403(b)	Government 457(b)	Other:
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Do you sponsor any other qualified retirement plans?	No	Yes (If yes, please describe):
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Does your plan offer any of the following investments?

- Company stock or other company securities
- Self-directed brokerage accounts
- Any illiquid assets (e.g. real property, gems, etc.)

**INFORMATION ABOUT YOUR RETIREMENT PLAN SERVICE PROVIDERS**

Recordkeeper (Your plan provider)	Provider Name:	Contact #:
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Contact Name:

Who should we contact?

Phone Number:

E-Mail Address:

Third Party Administrator (if applicable)

Custodian (if applicable)

Plan Financial Advisor	Advisor Name:	Company Name:
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Address

Phone Number:	E-Mail Address:
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Broker/Dealer or Registered Investment Advisor (if applicable)



## HELP US UNDERSTAND YOUR PLAN DEMOGRAPHICS

The following questions will help us determine the number and type of investments appropriate for your plan participants. Please describe the characteristics that best fit your workforce:

	←	More risk averse	Don't know / Average	More tolerant of risk	→
Tolerance for investment risk	1	2	3	4	5
	←	Shorter timeframe	Don't know / Average	Longer timeframe	→
Average investment time horizon To retirement or other withdrawal events	1	2	3	4	5
	←	Less knowledge	Don't know / Average	More knowledge	→
Degree of investment knowledge	1	2	3	4	5
	←	Less education	Don't know / Average	More education	→
Frequent investment communication / education	1	2	3	4	5
	←	Higher turnover	Don't know / Average	Lower turnover	→
Participant turnover	1	2	3	4	5
	←	Many over age 55	Don't know / Average	Many under age 35	→
Age distribution of participants	1	2	3	4	5
	←	Fewer than 12	12 to 20	More than 20	→
Number of current investment options Count investment groups such as target date funds as 1 option	1	2	3	4	5

Important: Please forward a list of current plan investments, including the balances in each investment account, as of a date within the previous four months.

## WHAT KIND OF FIDUCIARY ASSISTANCE DO YOU NEED?

Fidelis Fiduciary Management can serve as an ERISA 3(21) fiduciary advisor or as an ERISA 3(38) investment manager, depending on your needs. Both deliver a professionally selected and monitored investment menu. See details on our website.

Select one:

**3(21) Investment Advisor:** Fidelis recommends and monitors the investment menu as a co-fiduciary. You have the final say-so and will need to sign the paperwork when investment changes are made. Because you are involving a qualified independent investment fiduciary, this approach helps address the responsibility for investment oversight. It establishes proper investment due diligence and helps you create and maintain an investment menu that meets ERISA requirements.

**3(38) Investment Manager:** With this approach, you delegate to Fidelis control of investment decisions and transfer the liability for selection and monitoring of investments. Fidelis takes full legal responsibility for those decisions as specified in ERISA 3(38), and keeps you informed on our investment decisions. You retain the responsibility to make sure Fidelis is qualified and doing our job, and you can terminate our services at any time.



## CONFIRM OUR FEES

The Fidelis Fiduciary Management fiduciary service fee is \_\_\_\_\_ % of plan assets, payable quarterly at the rate of \_\_\_\_\_ % per quarter.

Fidelis Fiduciary Services acknowledges that it will receive no additional compensation from any recordkeeper, investment manager, or service provider related to this advisory engagement.

### Payment Method

I would like my plan provider to pay Fidelis fees from my plan assets.

I wish to pay Fidelis Fiduciary Management directly by sending them a quarterly check.

If the recordkeeper is unable to forward fees quarterly in advance, payment frequency will be modified to conform to a payment schedule that is mutually acceptable to you and to Fidelis Fiduciary Management. If the recordkeeper pays only quarterly in arrears, our agreement will request that they also make an initial payment pursuant to the terms of the advisory agreement.

## THE PURPOSE OF THIS PLAN PROFILE

This Plan Profile is a preliminary application to provide Fidelis Fiduciary Management with information we need in order to pre-complete the advisory agreements and related materials. It also helps us understand your plan needs and participant demographics. It is an expression of interest by you and is not a binding contract. Before a formal agreement is entered into, it is important that the individual who authorizes our services receives information sufficient to make an informed decision to engage us as a Registered Investment Advisor and Investment Advisor Representative. That information includes our advisory contract, named Retirement Plan Advisory Consulting Agreement, the Registered Investment Advisor Form ADV Part 2A, and the Investment Advisor Representative Form ADV Part 2B.

Once the Retirement Plan Advisory Consulting Agreement is in effect, you have the right to terminate it upon 30 days prior written notice.

## NEXT STEPS

### 1 We will complete the fiduciary agreements and send them to you for your review and signature.

This start-up packet will include the following:

- Retirement Plan Advisory Consulting Agreement
- Forms provided by your service provider authorizing them to share information and pay our fees for you.
- Your Investment Policy Statement, an important fiduciary defense.
- Disclosure documents

### 2 Sign the signature-ready materials and return them to us.

### 3 We will forward your plan menu and provide you with the timetable for upcoming investment changes.

### 4 We will provide you with in-depth quarterly investment reports, an annual investment fiduciary due diligence checklist, and secure access to our online document archive, Fiduciary File Cabinet™. We will notify you about upcoming investment changes, and are easily accessible to discuss the investment oversight with you or your advisor.

All of us at Fidelis Fiduciary Management thank you for the opportunity to serve your plan!

Call us or e-mail us any time you or your plan advisors have any questions or need to discuss our services: 813.868.1927 or [info@fidelisfiduciary.com](mailto:info@fidelisfiduciary.com)