DEPARTMENT RESOURCES GUIDE

CLIENT SERVICE RETIREMENT PLANS

RESOURCE/ DELIVERABLE NAME	USE	DESCRIPTION	REQUEST PROCESS/ ACCESS	LEAD TIME	PRIMARY CONTACT
Standard Menu Quarterly Investment Review - DC	Client	Plan asset summary. Fund performance data and scoring.	DC Quarterly Report Generator (QRG)	5 days	CMC
Standard Menu Quarterly Investment Review – DB (old report)	Client	Plan asset and composite performance summary.	Slide consolidation and coordination with Performance Reporting Group.	5 days	CMC
Standard Menu Quarterly Investment Review – DB (new style report)	Client	Plan asset and liability summary. Composite performance as well as individual investment performance and scoring.	DB QRG	7-10 days	CMC
Standard Menu Quarterly Investment Review - NQ	Client	Plan asset and liability summary. Fund performance data and scoring.	NQ QRG	7-10 days	CMC
Corporate Overview	Prospect	Static firm overview with ability to customize with FA, team, and regional branch information.	Proposal Generator	2 days	CMC/Ana Stines
Proposal ***Not included: Sample QRG with actual fund line-up of prospect. Sanitized Acme or ABC review of similar client is possible.**	Prospect	Full pitch to prospective client inclusive of both static and customizable slides specific to situation. Can also include plan and investment analysis, expense analysis, egg chart, and sample materials.	Completed Proposal Request Form to Ana Stines. Proposal Generator along with coordination with CRG, Professional Services, and ASG. Client data needed at time of request or could take longer. Always needs to allow for 24 hour final review.	2 weeks	CMC/Ana Stines

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Participant Fund Change Notice ***Available only if not provided by record-keeper**	Client	Notice to communicate fund changes to participants	Population of template. Can be customized to fit share class changes or conversion as well.	5-7 days	CMC
Broadridge Enrollment Kit ***Delivery is only through bulk shipment to client location. NO DIRECT PARTICIPANT MAILINGS**	Client	Custom kit that includes plan highlights, fund performance data, model info. Available only when vendor materials are unavailable.	Template created in house and fulfilled through Broadridge. Allow more time for first time requests for a client. Always allow five days to ship.	5-10 days	CMC
Fiduciary Training Manuals	Client	Comprehensive binder of white papers and sample materials to be utilized when conducting fiduciary training with an investment committee.	Allow time for fulfillment of large orders and shipping.	5 -7 days	CMC
CAPTRUST Direct Logins	Client/Prospect	Login for clients or use in a prospect demo.	Registration email delivered to portal users. Users must have valid email address associated with contact record.	2 days	CMC
CAPTRUST Direct Presentation	Client/Prospect	Detailed piece that highlights screens and features of CAPTRUST Direct site.	Static presentation	2 days	CMC
CAPTRUST Direct Webex	Client/Prospect	Recorded demo that walks through all aspects of the site. General and DirectFiduciary versions are available.	Static recording	1 day	CMC
Meeting Minute Template	Client	Template used to document discussions at investment committee meetings	CMC can assist with filling in content such as market commentary, asset data, and content about failing or watch list funds.	2-3 days	CMC

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DC Fund Line Up/Conversion	Client	Comprehensive presentation with before/after expense analysis, fund mapping, and corresponding fund analysis.	Workflow request/collaboration with CRG.	2-3 weeks	CMC/CRG
DC Fund Comparison/ Recommendation	Client/Prospect	Analysis that compares fund that we are recommending to replace against several options. Can also be used as a sample with a prospect.	Workflow request/collaboration with CRG. Formatted as stand alone or included with quarterly review.	5 days	CMC/CRG
DB Investment Manager Analysis and Recommendation	Client	Custom deliverable that could cover replacement of an existing manager and/or manager search.	Workflow request/collaboration with CRG. Formatted as stand alone or included with quarterly review.	2-3 weeks	CMC/CRG
DB Asset Allocation Analysis	Client	Comprehensive presentation that outlines asset allocation for DB, investment pool, or foundation. Can include multiple hypothetical strategies.	Workflow request/collaboration with CRG. Formatted as stand alone or included with quarterly review.	2-3 weeks	CMC/CRG
QDIA Notice ***Available only if not provided by record-keeper**	Client	Annual notice with risk and return data. Available when vendor does not supply notice.	Template populated based on type of option being used (balanced fund, target date series, or model allocation).	5 days	CMC

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RESOURCE/ DELIVERABLE NAME	USE	DESCRIPTION	REQUEST PROCESS/ ACCESS	LEAD TIME	PRIMARY CONTACT
Rebalancer/ Investment Trade Coordination	Client	Template that compares DB, investment pool, or foundation's current allocation versus targets and suggested trades to rebalance closer to targets. Can also be used to raise and invest cash or adjust an LDI strategy.	Money in Motion Workflow request sent to DB Ops.	2-5 Days	CMC/DB Ops
Contract/Contract Amendments	New Client/Existing Client	Contract and schedule of services (SOS) to outline fee arrangements and services provided.	Completed contract request form submitted to Kimberly Carter. Could involve review by ASG of fees. Can take longer if legal counsel involvement is necessary because of client requested edits. If 3(38) discretion is being offered, prior approval by Scott Matheson or Grant Verhaeghe is also necessary.	2 Days	CMC/ Kimberly Carter
DC Investment Policy Statements	Client	Document that outlines invest committee responsibilities, guidelines of investments that can be held in a plan, and key scoring methodology. 3(21) and 3(38) versions available.	Template completed by CMC.	1-2 days	CMC

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PAS Pitch	Client/Prospect	Custom proposal that specifically speaks to an PAS service offering or education strategy for an existing client being cross sold or for a prospect.	Use of some static slides form proposal generator as well as collaboration with Professional Services to price proposed services as well as craft a strategy for the specific situation.	2 weeks	CMC/PAS Team
Wealth Planning (Plan Participants)	Plan Participant	Retirement income and asset allocation planning for high net worth plan participants. Holistic view of retirement assets.	Will require gathering of account data from participant. Currently only available to contracted clients.	5-7 Days	Jeremy Hanson
Mailing List Management	Client	Various marketing lists such as electronic Institutional Content Campaign, Plan Sponsor Ebriefs, VESTED Magazine and VESTED Voices, anniversary, and holiday card mailings.	Involves auditing and editing of contact records to add/remove from lists as well as completing address and email fields.	1-2 Days	CMC
Fee Benchmark	Client	Benchmark comparing plan pricing to other similar plans. May include blind bids from several other providers.	Workflow request to Professional Services. Involves plan data gathering by CMC. Length of time varies on standard vs. custom benchmark.	2-4 weeks	CMC/ Professional Services
Plan Design Benchmark	Client	Annually delivered report that compares a client's plan design features to our proprietary database of benchmarking data.	Part of QRG generator. Available to clients that participated in annual survey as well as newly onboarded clients. Timing of deliverable based on whether data is already in CAPConnect or needs to be gathered and entered.	7-10 days	CMC

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Vendor RFP	Client	Provider search deliverable that summarizes findings of provider RFP.	Workflow request to Professional Services. Involves plan data gathering by CMC.	6-8 weeks	CMC/ Professional Services
PAS Report	Client	Deliverable that highlights usage of PAS services such as meetings, Advice Desk, and Webinars.	Run at plan level in CAPConnect. Meeting data needs to be entered to appear in the report. Considered more of an annual deliverable unless larger clients with regular flow of interactions with PAS.	7-10 days	CMC
Supplemental Review Materials ***REQUIRES APPROVAL OF CLIENT SERVCE MANAGEMENT**	Client	Coordination of additional materials to include in review outside of normal scope. Varies from each quarter. For example: Target Date questionnaires and supplements or information about the new scoring system.	Varies, but could involved CMC working with CRG to create/provide what is needed.	5-7 Days	CMC
CAPConnect Maintenance	Internal Database/ External Client Use Via CAPTRUST Direct Portal	Upload all client information (SPD, plan document, minutes, QRG) to CapConnect. Enter plan market values quarterly. Maintain investment allocations from entering initial plan line-up to updating with fund changes as they occur.	Process begins at client onboarding and continues as part of ongoing day to day servicing.	Initial set-up for rollout of CAPTRUST Direct can take several quarters to reflect CAPTRUST recommended fund line-up. It is suggested to wait until all aspects of site are fully functional.	CMC