

RETIREMENT PLANS CLIENT SERVICE

What Makes our CMC's so Effective?

- Average 11 years plan industry experience
- Prior work experience from plan record-keepers, mutual funds, third party administrators and Corporate HR Departments (Minimum 5 years experience)
- 75% hold FINRA Series 6 or 7
- Extensive knowledge of retirement plans from an operation perspective (valuation/bundled/unbundled).
- Working knowledge of ERISA
- Aptitude in nondiscrimination testing and 5500 reporting
- Extraordinary communication skills
- Ability to think outside of the box and be creative problem solvers
- A passion for Client Service with previous experience in the field

The Retirement Plans Client Service Team at CAPTRUST is focused on delivering daily support to our clients through strong teamwork, continuous improvement, and an entrepreneurial spirit as we strive to consistently provide service beyond expectation.

The team is currently staffed with 48 individuals comprised of Client Management Consultants (CMC's), Relationship Managers, Client Management Associates (CMA's), and a management team that offers mentorship, training resources, and strategic oversight.

OUR CENTRALIZED MODEL

Most CMC's are located in our home office of Raleigh, NC as well as our extended team in Charlotte, NC to maintain direct connectivity with our Consulting Research, Professional Services, Performance Reporting, and Portfolio Accounting Departments. This expedites communication and ensures consistency of best practices across our client base.

The CMC's work in partnership with our financial advisors to assist with action items and offer direct internal support to our clients. Each CAPTRUST client has a CMC that is assigned to their relationship.

SERVICES FACILITATED AND/OR PROVIDED

Drafting Client Service Agreements	Creating Investment Policy Statements
New Client Set-Up and Onboarding	Plan Participant Notices
Investment Recommendation Deliverables /Analysis	Participant Enrollment Materials
Quarterly Performance Reports	Participant Advice
Vendor Expense Analysis	Gathering of Plan Data for Reporting
Vendor/RFP and Provider Search	Coordination of Fund Changes
Vendor Conversion	
Issue Escalation with Plan Record keepers	
Maintenance of Electronic Document Warehouse for CAPTRUST Direct Portal	

MENTORSHIP, DEVELOPMENT, AND CAPACITY

- Each CMC generally supports 1-3 Financial Advisors (FA's). Capacity is reviewed quarterly
- Nurturing the CMC/FA partnership: evaluation of expertise needed for client base as well as chemistry between CMC and FA personalities. The CMC is developed to be the FA's best advocate, quarterback, and partner.
- Training Provided: ASPAA modules, in house training for internal systems and procedures, shadowing of senior team members.
- Performance is evaluated by direct feedback from financial advisors and internal associates as well as Team Leader peer review of work.
- Dynamic career path allows progression to Financial Advisors Relationship Manager (CMC/FARM) or Management track.
- Support of local universities through CAPTRUST's intern program that can result in possible future employments as a CMA.