

EASY, BREEZY, RFPEASY REQUEST FOR PROPOSAL PROCESS

11 BASIC CATEGORIES

1	General Firm Overview	Ownership, history, principal biographies, and a high-level menu of services
2	Client Experience	Number of clients and assets under care from clients like you, representative client list, and references
3	Legal and Compliance	Current status as registered investment advisor or broker-dealer, outstanding and recent legal proceedings or complaints against the advisor
4	Fiduciary Status and Services	Scope of services, protections, and pricing
5	Investment Consulting Services	Scope of services, reporting, research capabilities, and team
6	Committee / Trustee Education and Training	Advice on meeting minutes and new retirement committee member orientation
7	Provider Experience	Number of providers an organization has with plans like yours
8	Participant Services	Participant communication, education, and advice services
9	Differentiators and Culture	What makes an organization unique
10	Fee and Service Proposal	Summary of all proposed service offerings and associated fees
11	Information Security / Data Security	Address potential risk associated with cyber attacks and general support

