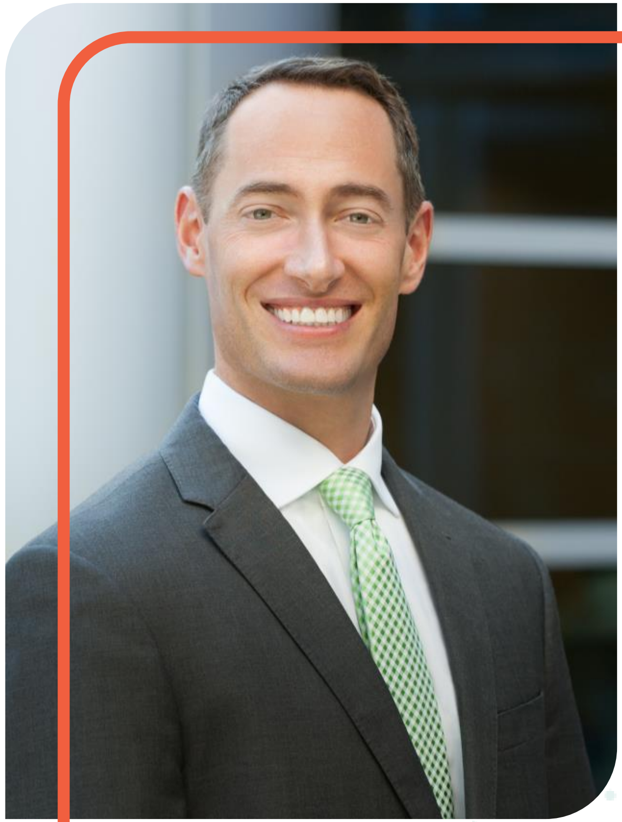
RED FLAG QUADRANT 4

Client Satisfaction Panel

Ryan Hamilton

Sr. Investment Advisor
NFP



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CONFIDENTIAL

Proactive and Pre-emptive

Resource Center

Category

- Content Marketing Plan
- CITs and Custom TDFs
- Data Security Questionnaire
- Fiduciary Briefcase
- Fiduciary Compliance & Plan Design
  - Plan Limits
  - Investment Policy Statement
  - Internal Checklists & Forms
  - Fiduciary Legal Briefing
  - Fiduciary Fitness Program
    - FINRA Letters
    - Education Modules
    - Documentation Modules
  - Client Templates
  - Articles & Information
- Financial Wellness
- Fund Fact Sheets
- Investment Due Diligence
- HSAs
- Investment manager perspectives on

Education Modules

Show only customizable documents

- Responsibilities
- Minimize Fiduciary Liability
- Monitoring Service Providers
- Monitoring Investments
- Monitoring Investments (Redline)
- PPT NEW 06 - ERISA Section 404(c) Compliance
- PPT 07 - Disclosure and Notice Requirements
- PPT 08 - Maintaining Your Fiduciary File
- PPT 09 - Claims and Appeals Procedures
- PPT 10 - Prohibited Transactions
- PPT 11 - Timely Deposit of Employee Elective Deferral Contributions
- PPT 12 - Control Groups
- PPT 13 - Mergers and Acquisitions
- PPT 14 - Plan Terminations, Mergers, Transfers and Spin-Offs
- PPT 15 - Correction of Missed Contributions
- PPT 16 - Employer Securities
- PPT 17 - Target Date Funds
- PPT 18 - DC Plan Design the Participant Experience
- PPT 19 - Fee Levelization
- PPT 20 - Missing Participants
- DOC Education Module Videos

Show your Capabilities

Fiduciary Fitness Program

Education Module Videos

Fiduciary education is a complicated, yet necessary task you have to face. To aid you with these matters, we have created fiduciary education videos to help you satisfy this important task. https://vimeo.com/showcase/fiduciaryfitness

1.	Fiduciary Duties and Responsibilities	☐ Part 1	☐ Part 2	☐ Part 3	☐ Part 4	
2.	Strategies to Minimize Fiduciary Liability	☐ Part 1	☐ Part 2			
3.	Selecting and Monitoring Service Providers	☐ Part 1	☐ Part 2			
4.	Selecting and Monitoring Investments	☐ Part 1	☐ Part 2	☐ Part 3	☐ Part 4	
5.	Fees and Expenses	☐ Part 1	☐ Part 2	☐ Part 3	☐ Part 4	☐ Part 5
6.	ERISA Section 404(c) Compliance	☐ Part 1	☐ Part 2	☐ Part 3	☐ Part 4	☐ Part 5
7.	Participant Notice and Disclosure Requirements	☐ Part 1	☐ Part 2	☐ Part 3	☐ Part 4	
8.	Maintaining Your Fiduciary File	☐ Part 1				
9.	Claims and Appeals and Qualified Domestic Relations Order (QDRO) Procedures	☐ Part 1	☐ Part 2			
10.	Prohibited Transactions	☐ Part 1	☐ Part 2			
11.	Timely Deposit of Employee Elective Deferral Contributions	☐ Part 1				
12.	Control Groups	☐ Part 1	☐ Part 2	☐ Part 3		
13.	Mergers and Acquisitions	☐ Part 1	☐ Part 2	☐ Part 3	☐ Part 4	
14.	Plan Terminations, Mergers, Transfers and Spin-Offs	☐ Part 1	☐ Part 2	☐ Part 3	☐ Part 4	☐ Part 5
15.	Correction of Missed Contributions	☐ Part 1	☐ Part 2	☐ Part 3		
16.	Employer Securities	☐ Part 1	☐ Part 2	☐ Part 3	☐ Part 4	
17.	Target Date Funds	☐ Part 1	☐ Part 2	☐ Part 3	☐ Part 4	☐ Part 5
18.	Addressing the Participant Experience	☐ Part 1	☐ Part 2	☐ Part 3	☐ Part 4	☐ Part 5
		☐ Part 6	☐ Part 7			
19.	Fee Levelization	☐ Part 1				

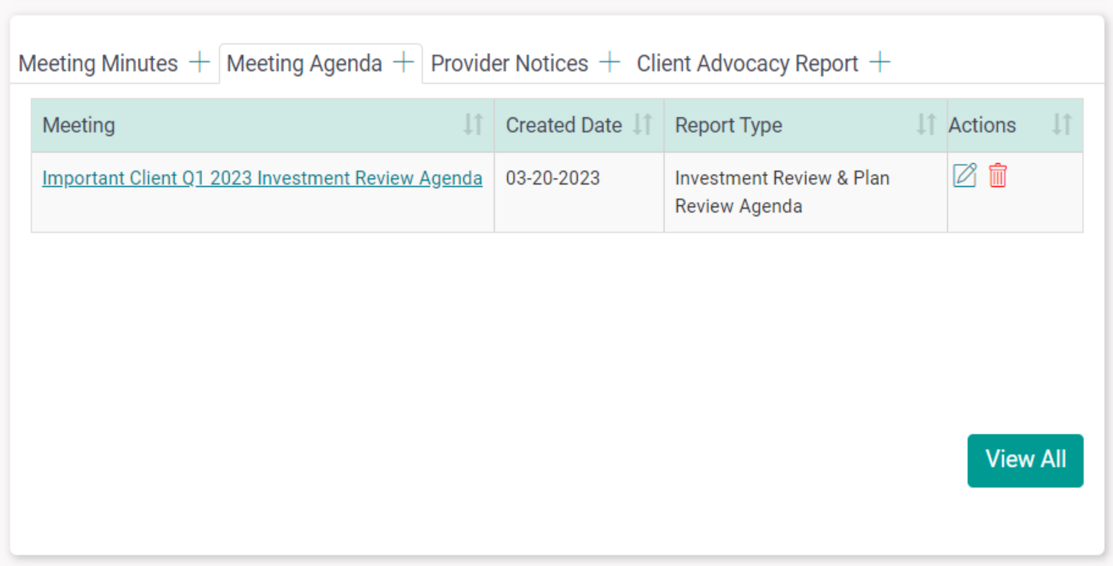
[ADDRESS] | [PHONE NUMBER] | [WEBSITE]

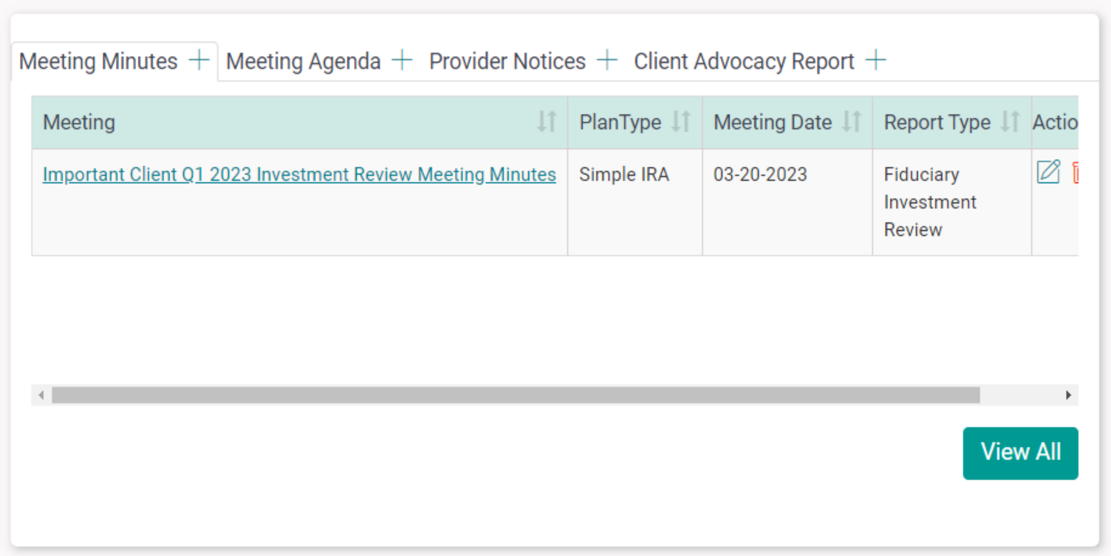
Managing Expectations

Service Plan 2023

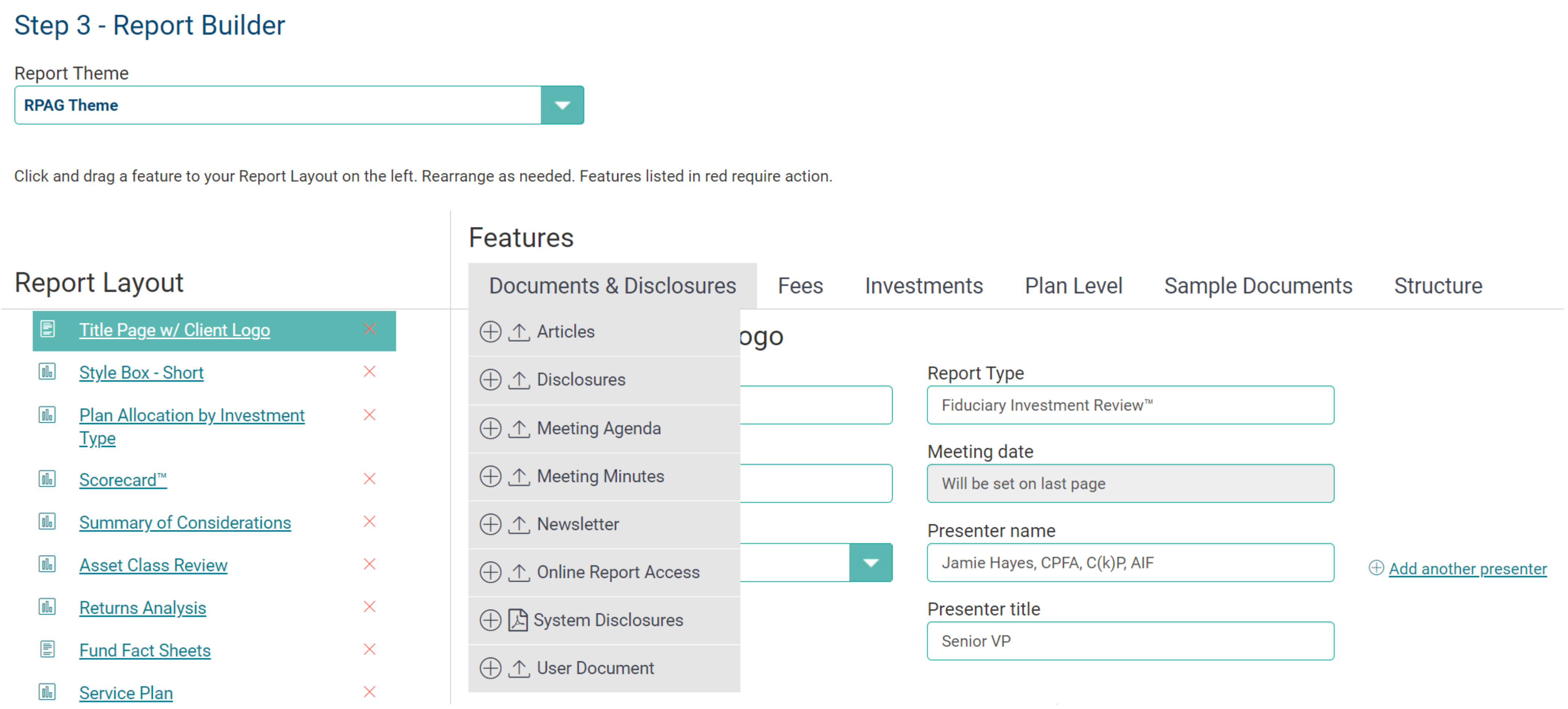
Service	Target Month	Month Delivered
Goal Setting	March	March 31
Investment Review	March June September December	March 31 - - -
Cash-Equivalent Review	September	-
Fee Structure Review	December	-
Live-Bid RFP	September 2024	-
Employee Education Sessions	Upon Request	Upon Request
Newsletters and Memos	Monthly	Monthly
Client Advocacy	Ongoing	Ongoing

Managing Expectations





Tying it all together



Partner Resources – Q & A

What Our Clients Have to Say

Year after year, OneAmerica is honored with our industry's top awards.

Most

'Best in Class' Awards

Since 2007

Most Best In Class awards among all providers 2001-2021 PLANSPONSOR ANNUAL DC SURVEY

Convergence of Retirement & Wealth

Working with your service model – not against it

OneAmerica® Customer Concierge Services

- ✓ **Lead Generation**
- ✓ **7,000 leads referred**
- ✓ **$88K average referral**

Power of choice
The advisor is in control

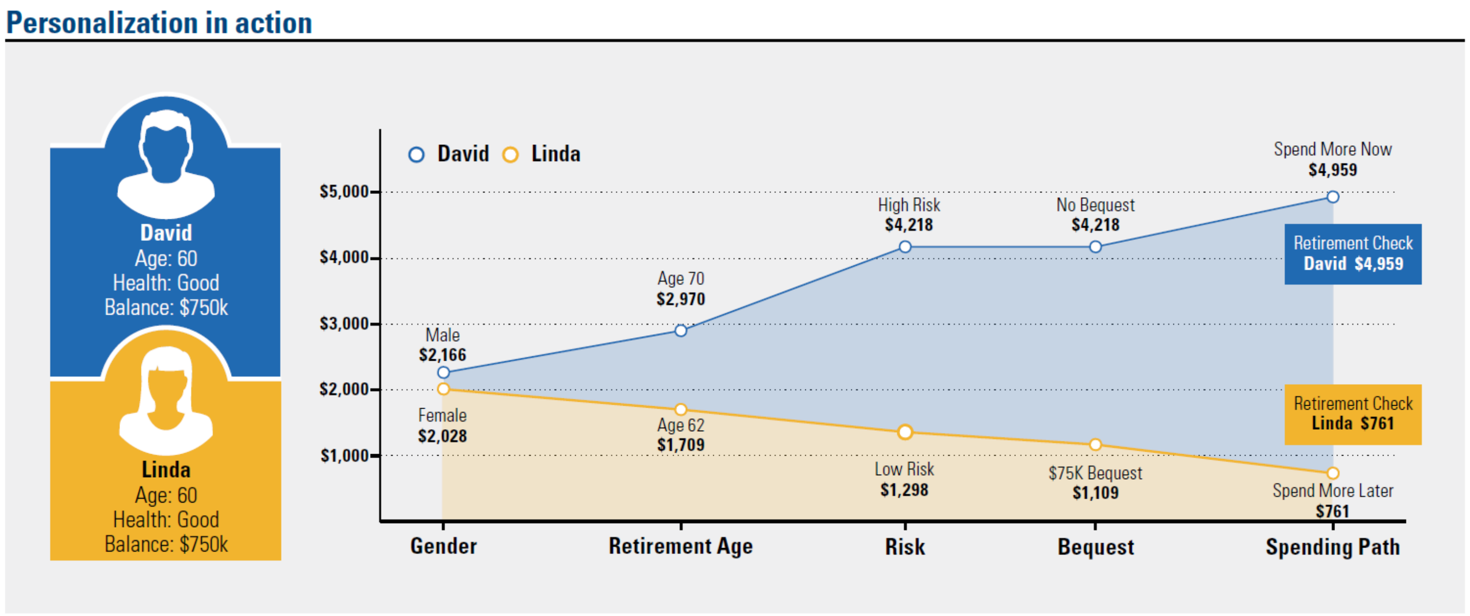
For participants needing guidance

- Advisor wants them all
- Advisor wants them over a certain dollar level
- Advisor prefers full support by OneAmerica

PensionPlus™

- Innovative, personalized retirement withdrawal strategy
- Quickly and simply run income projections using participant preferences
- Learn impact of decisions like whether to delay Social Security for higher benefits
- Uses behavioral insights and digital nudges not considered by traditional tools

Disclaimer: PensionPlus is not an affiliate of the companies of OneAmerica



Disclosures

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Question 1:

How do you measure client satisfaction?

2022 *PLANSPONSOR* DC Plan Survey

The Standard won 17 Best In Class awards and 2 service commendations for:

- Plan administration
- Plan design flexibility
- In-person/virtual participant support
- Enrollment materials and support
- Website, reporting and tools
- Account/client service teams
- Investment options
- Fee value and transparency

BEST IN CLASS AWARDS FOR RECORDKEEPING SERVICES WERE EARNED IN THESE MARKET CATEGORIES:

- **<$5MM**
- **$5MM – $25MM**
- **$25MM – $50MM**
- **Service Commendation**

Full survey results available at:
https://www.plansponsor.com/research/2022-best-class-dc-providers

#1 Net Promoter Score
$25MM-$50MM

#4 Net Promoter Score
<$5MM

#6 Net Promoter Score
$5MM-$25MM

TheStandard®

Advisors Value Our Offering

Top 5 Recordkeeper
in 3 markets

Regulatory Support [1,2,3]

Mobile App [1,2]

Staff Credentials [1,2]

Calculators [1]

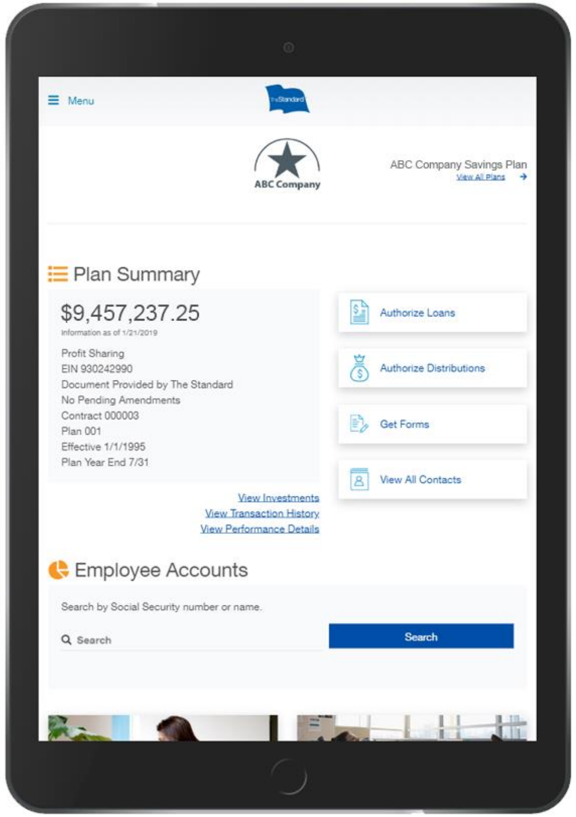
Market Categories
[1] <$1MM (Micro)
[2] $1MM – $10MM (Small)
[3] $10MM – $100MM (Mid)

Full survey results available at: https://www.napa-net.org/napas-advisors-choice-award

Question 2:

What tools do you have that clients seem to love the most?

PlanNet® Website for Employers



"PlanNet is simply the best of all the record keeper sites to work with for gathering critical client and participant analytical facts & figures." – Steve, Plan Advisor

Easy Access, Quick Answers

- View plan contacts, including your service team
- View all plan data
- View important plan documents/notices
- Access defined reports or customize your own
- Access resources, calendars, newsletters, alerts and more

TheStandard®

Question 3:

Your clients are the plan sponsors, but you also need to keep advisors satisfied, what do you have/do that you think advisors really appreciate or maybe are underutilizing?

Resources for Advisors

- White Label Material for Your Practice
  - Reach out to your wholesalers for the full library!
- Multi-media Financial Wellness Program Creator Tools for Advisor Use
- Continuing Education Content (AIF, CPFA, CFP)
- Prospecting Tools and Support
- State-specific resources provided to you by The Standard
  - Explanation of the state-mandated programs
  - One pager comparison between different provisions of retirement plan options compared to state program
  - Editable for your practice and contact information