



PWA FINANCIAL

Participant Focused | Retirement Ready

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PWA Financial Fiduciary Advisory Service Checklist	PWA Financial
Assumes the role of a 3(21) and/or 3(38) fiduciary advisor to the retirement plan	✓
Regularly evaluates plan design and identifies opportunities for enhancement	✓
Provides periodic detailed fee benchmarking for retirement plan service providers	✓
Assists with retirement plan service provider RFPs, fee negotiations, and platform transitions	✓
Diligent monitoring of the investment fees incurred by plan participants	✓
Creates and maintains the retirement plan Investment Policy Statement (IPS)	✓
Forms and manages the retirement plan Investment Committee	✓
Provides custom retirement and financial wellness education programs to participants	✓
Advocates on behalf of the Plan Sponsor and participants when interfacing with vendors	✓
Analyzes and provides recommendations based on plan trends (deferral, contribution, etc.)	✓
Facilitates one-on-one meetings with plan participants providing personalized advice	✓
Schedules and administers retirement plan enrollment meetings on an annual or semi-annual basis	✓
Reviews plan investment offerings and provides replacement options when necessary	✓
Clearly defines services provided to the plan along with transparent fee disclosure	✓
Performs due diligence and provides clear and concise analysis on service provider offerings	✓
Apprises management of new laws and changes impacting the retirement plan	✓

PWA Financial is a financial services firm that specializes in providing fiduciary advisory services to plan sponsors and creating and delivering comprehensive financial wellness programs to plan participants.

At PWA Financial your retirement plan success is our business!

PWA Financial is not an affiliate of NEXT Financial Group, Inc.
 Securities and Investment Advisory Services offered through NEXT Financial Group, Inc., Member FINRA/SIPC