

5

FREE RESOURCES

Every Retirement Plan Adviser
Should Be Using

401**K** BEST PRACTICES.COM



“Building and managing a successful and compliant 401k practice takes a considerable amount of time, talent, effort, and resources.

The following five resources are some of my absolute favorite free tools available online to help you maximize your efforts.”



SHARON PIVIROTTO

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TOP 5 FREE RESOURCES

1

The Department of Labor's
Public 5500 Data

2

Brightscope

3

401khelpcenter.com

4

Deloitte's Annual 401(k)
Benchmarking Survey

5

fi360's Resources

DOL 5500 Data

Prospecting Tool

Prospecting is never easy; but you can increase your odds of successfully getting in the door or moving the conversation along if you know some basic plan information that can be found on the company's annual 5500 tax form. While there are many paid data sources you could turn to, I recommend going right to the source and visiting <http://www.efast.dol.gov> and pulling the most recent public data for FREE.

The screenshot shows the EFAST2 Filing Search page. At the top, there is a header for the United States Department of Labor with a search bar and navigation links. The main content area is titled "Form 5500/5500-SF Filing Search" and provides instructions on how to use the search engine. A search form is located at the bottom of the page, with fields for Plan Name, Sponsor Name, and Plan Administrator. A large green arrow points to the search form with the text "Online Search".

UNITED STATES DEPARTMENT OF LABOR

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Filings

- Form 5500/5500-SF Search

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EBSA

Form 5500/5500-SF Filing Search

This search engine identifies Form 5500 and 5500-SF filings received by EFAST2. Filings for plan years prior to 2009 are not displayed through this website. This website provides the forms, schedules, and attachments submitted by the filer. Posting this information on the web site does not constitute acceptance of the filing by the Department of Labor, the Pension Benefit Guaranty Corporation, or the Internal Revenue Service.

To find actuarial information for plan year 2008, use the [Pension Plan Actuarial Information Search](#).

You can view one plan filing at a time through this search engine based on the search criteria listed below. If you would like the raw data from all filings, including schedules, you can download Form 5500 datasets from EBSA's [electronic FOIA webpage](#). If you are unable to find a filing that you believe has been submitted, please contact the EFAST2 Help Line at 866-463-3278.

Enter criteria in one or more of the below fields (at least one of these fields *must* be filled in).

Wildcard searches are automatically used in the Plan Name, Sponsor Name, and Plan Administrator fields. The wildcard character is the asterisk (*). It is placed on the right side of the character string. For example, the search for "Widg*" will show information for all filings with the letters "Widg", such as "Widget Company" and "Widgard LLC". At least four letters must be entered when performing a search.

Wildcard searches are not used in fields other than Plan Name, Sponsor Name, and Plan Administrator. The search results are displayed for these other fields.

For help searching for filings through this website, see the [EFAST2 Filing Search Guide](#).

Fill in the search criteria, then click Search.

Plan Name:

Sponsor Name:

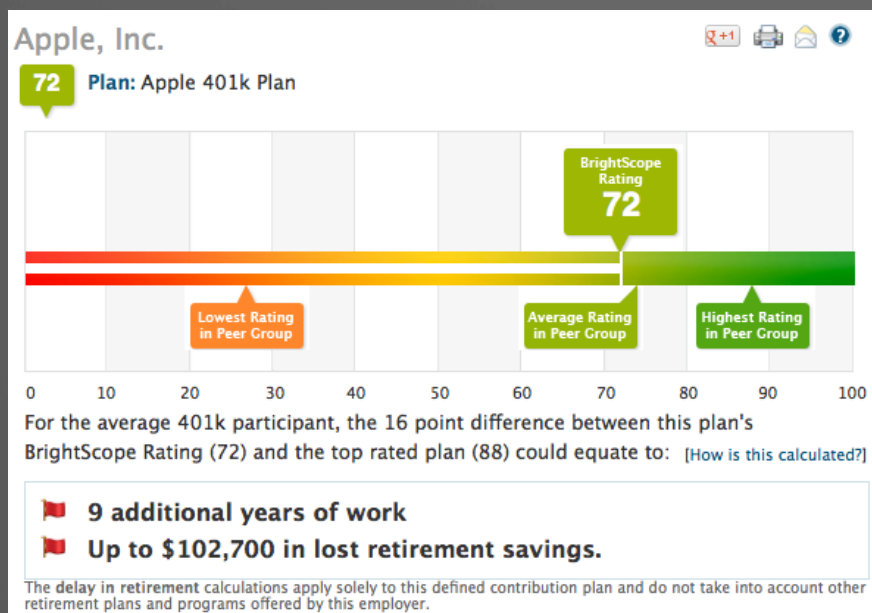
Plan Administrator:

Online Search

Brightscope

Prospecting Tool

Another way to open doors and start conversations with prospects, is to go online to brightscope.com and print the “BrightScope Rating” for a particular company. This FREE rating tool is a great way to identify possible shortfalls in a plan that would allow you to provide needed services.



Identify Top Prospects

Screen plans for high fees, poor fund performance, and centers of influence. Develop campaigns in your CRM with fully exportable reports.



Win First Meetings

Engage plan sponsors by leveraging the visibility of BrightScope Ratings in the press and search engine results.



Close Business Faster

Create professional, prospect-friendly benchmarking reports before first meetings that highlight fee and investment analysis.

401khelpcenter.com

News and Trends

I've spent many, many hours researching specific topics relating to qualified plans online and can tell you that the website 401khelpcenter.com is my main source for information.

This website has done all of the work of finding and consolidating 401k articles. They also aggregate the latest published material on 401k trends, fiduciary issues, legislative action, court cases, opinion, rule changes, insights, surveys, studies, commentary and more and deliver a **summary to your inbox weekly—for FREE!** If you want to keep abreast of the latest developments—I'd highly recommend this free resource.



Deloitte's 401(k) Benchmarking Survey

Market Intelligence

Now in the twelfth year of publishing this survey, Deloitte does a phenomenal job of providing research on industry trends in the 401(k) space, allowing you to easily identify how your clients and prospects stack up. Plan sponsors also appreciate the perspective provided in this FREE report. Get a free copy on [Deloitte's website](#).

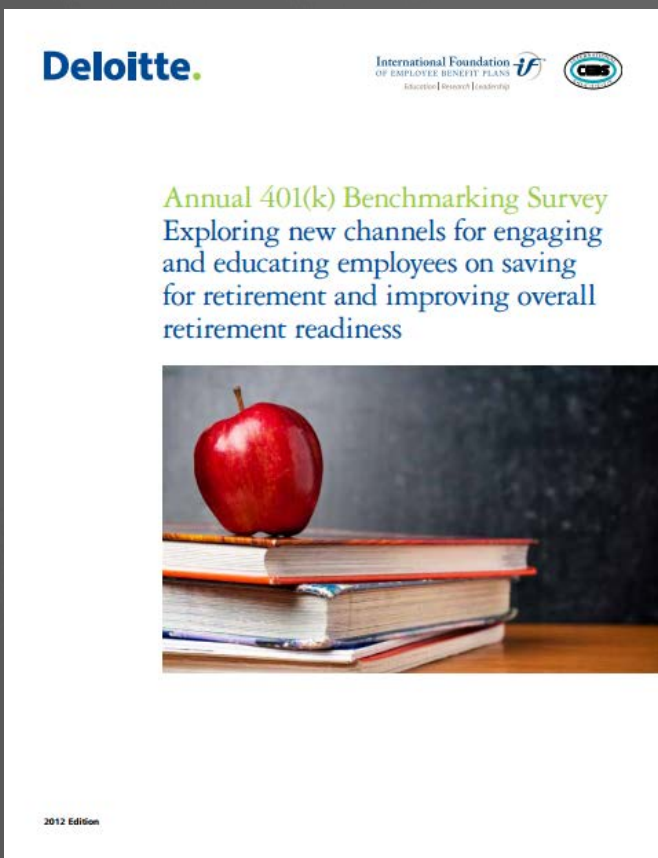


Image source: [deloitte.com](#)

fi360's Resources

Compliance Guidance and Documents

Without a doubt, if you're looking for compliance documents, [fi360.com](https://www.fi360.com) provides some of the best FREE downloadable documents, including the Prudent Practices handbook series, sample bylaws, sample meeting minutes, sample fiduciary acknowledgement letter, sample Investment Policy Statement, and more. (Find them on their Resource Page or run a quick Google search with the document name you're looking for followed by the term "fi360" and you'll likely pull up a template or two you can use!)

With extensive education, certification, software, and practice management offerings, fi360 is a one-stop shop equipped to provide individuals and organizations with the training, tools, and resources necessary to become more successful.



Get More FREE Resources

Get MORE resources, strategies & best practices for growing and protecting your 401k business at:

<http://www.401kbestpractices.com>

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