

# Who is helping you satisfy your fiduciary responsibilities?

**Ask Kidder.**

The qualified plan experts

	Employer/ Plan Sponsor	TPA w/ Investment Platform	Bundled Provider	Kidder 3(16) Fiduciary TPA w/Investment Platform	3(21) Investment Fiduciary/ Educator	3(38) Investment Fiduciary/ Educator	3(38) Limited scope Investment Fiduciary
<b>Plan administration, compliance, testing &amp; tax reporting</b>							
Fiduciary Governance Support		▲	▲	■	▲	▲	
Fiduciary Committee management	■			▲	▲	▲	
Extended Plan Consulting		■	■	■			
Plan Termination		■	■	■			
Annual Administration/Compliance		■	■	■			
Asset Reconciliation and Recordkeeping		■	■	■			
Form 5500 Preparation		■	■	■			
Signing and Filing Form 5500	■			■			
Distribution and Loan Processing		■	■	■			
Approval of Distributions and Loans	■			■			
Participant claims and Beneficiary determinations	■			■			
Spousal Consent documentation and approval	■			■			
Plan related document distribution (SMM, Safe harbor notices, etc.)	■			■			
404(a)(5) required participant notices preparation		■	■	■			
404(a)(5) required participant notices distribution and liability	■			■			
Qualified Domestic Relations Orders review	■	■	■	■			
Qualified Domestic Relations Orders approval	■			■			
Qualified Default Investment Arrangement notice preparation		■	■	■			
Qualified Default Investment Arrangement notice distribution/liability	■			■			
Service for Legal process	■			■			
Fee and Service Review	■			■	■	■	
IRS & DOL Audit support		■	■	■			

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<b>Consulting, plan design &amp; documentation</b>							
Employ professionals to assist	■						
Create and Appoint Fiduciary Committee	■						
Duty to monitor Service Providers	■						
Payroll and deposits to plan	■						
Provide complete census	■						
Records and Document Maintenance	■	▲	▲	▲			
Plan Design	■	■	■	■			
Plan Document and amendments		■	■	■			
Extended Plan Consulting		■	■	■			
Request for Proposal or Information (RFP or RFI)	■	■		■	■	■	
<b>Investment platforms &amp; investment due diligence</b>							
Fiduciary Committee management	■			▲	▲	▲	
Investment Due Diligence					■	■	■
Investment Change approval	■				■	■	■
Discretionary Investment Change approval						■	■
Platform review and change	■	■		■	■	■	■
Fee and Service Review	■	■		■	■	■	■
<b>Participant education &amp; outcomes</b>							
Enrollment Services		■	■	■	■	■	
Participant Education Plan and implementation/Financial Wellness	■				■	■	
Determine and measure Plan results and outcomes	■	■	■	■	■	■	