

	Kidder Concierge Client Advocate	Advanced Plan Advisor Consultant 3(21), 3(38)	TPA/ Compliance	Investment Platform Recordkeeper	Traditional Plan Advisor 3(21), 3(38)
Plan Consulting, Plan Design & Documentation					
Plan Design	●	●	●		●
Plan Design Analysis	●	●			
Plan Document and Amendments			●		
Plan Document Review and Explanation	●	●	●		
Extended Plan Consulting	●	●			
401(k)/Cash Balance/ ESOP technical support	●				
Request for Proposal/Information (RFP or RFI)	●	●	●		●
Non-qualified Plan/Deferred Compensation Design and Integration		●			
Business Succession Planning		●			
Plan Administration and Compliance					
Fiduciary Governance support	●	●			●
Fiduciary Committee Management/participation	●	●			●
Plan Fiduciary/Trustee Education	●	●			●
Plan Fiduciary/Trustee Transition support	●	●			
Service Provider Selection support	●	●			●
Extended Plan Consulting	●	●	●		
Plan Termination options and implementation	●	●	●		
Annual Administration/Compliance			●		
Annual Administration/Compliance Qualitative Monitoring	●				
Asset Reconciliation/Recordkeeping			●	●	
Asset Reconciliation/Recordkeeping Qualitative Monitoring	●	●			
Distribution and Loan processing			●	●	
ERISA 3(16) Services			●	●	
ERISA 3(16) Services Qualitative Monitoring	●		●		
Client Advocate on behalf of Plan Fiduciaries	●				
Fee and Service Review	●	●			●
IRS/DOL knowledge and support	●	●	●	●	

Kidder
Concierge
Client
Advocate

Advanced
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3(21), 3(38)

TPA/
Compliance

Investment
Platform
Recordkeeper

Traditional
Plan Advisor
3(21), 3(38)

Investment Recordkeeping & Investment / Due Diligence

Fiduciary Governance Support	●	●		●	●
Fiduciary Committee Management/ participation	●	●	●		●
Plan Fiduciary/Trustee Education	●	●			●
Plan Fiduciary/Trustee Transition support	●	●			
Investment Platform due diligence and selection		●		●	●
Investment Due Diligence		●			●
Investment Selection Process and choices based on demographics		●		●	●
Investment Change approval/ implementation		●		●	●
Investment recordkeeping platform services				●	
Investment Recordkeeping Platform review and changes	●	●			●
Investment Recordkeeping Platform Training and support	●			●	
Investment Recordkeeping Platform Service Qualitative monitoring	●	●			
Fee and Service Review	●	●			●
Client Advocate on behalf of Plan Fiduciaries	●	●			

Participant Education/ Advice & Financial Health/Wellness

Enrollment Services		●	●	●	●
Participant Education Plan/ Implementation/Financial Wellness	●	●		●	●
Education/Advice support		●		●	●
Education Tools/website		●	●	●	●
Financial Wellness program review	●	●			●
Distribution Option Training and support	●	●		●	●
Determine and Measure Plan Success and Participant outcomes	●	●		●	●
Enrollment/Education/Financial Health Qualitative Monitoring	●	●		●	●
Financial Health services beyond the retirement plan	●	●		●	