

ATTACHMENT C
FINANCIAL ADVISOR QUESTIONNAIRE

ITN NO.: 15-0007
RETIREMENT PLAN FINANCIAL ADVISOR

A. BUSINESS / CORPORATE QUALIFICATIONS:

1. Describe the ownership and structure of your firm (team).
2. How many years has your firm been in business?
3. What date did you start providing financial advisory services to retirement savings plans?
4. Briefly describe your firm's history.
5. How many years has your firm been servicing retirement plan clients?
 - a. What documentation of your firm's history servicing retirement plan clients can you provide?
6. What is the total number of employees in the firm?
 - a. Of those, number of employees who are Investment Advisory Representatives (IAR).
 - b. If you use sub-contractors, who are they and for what services?
7. What is the position of your firm in the employer sponsored retirement plans business?
 - a. Plan assets under advisement.
 - b. Total number of clients with defined contribution plans under your advisement.
 - c. Number of core client plans (with whom your firm has regular quarterly contact).
 - d. Recognition received from independent sources demonstrating expertise and credibility.
8. Please list the types of services your firm offers for retirement plans.
9. Please list the federal, state, and other regulatory agencies with which your firm is licensed or registered, and the type of license held.
10. Please provide a copy of both parts of your firm's most recent SEC Form ADV. Provide also a copy of your State of Florida registration as an investment advisor, to the extent such registration is required to perform the requested services.
11. Please provide a current list of representative clients.
12. List any industry-specific certifications, e.g. Center for Fiduciary Excellence, your firm is a member of.

B. SERVICE TEAM:

1. Describe your service model to our plan (staff, responsibilities, interactions with our plan, frequency of in-person meetings, frequency of conference calls, team dynamics). Include staff bios.
2. Primary contact for our relationship:
 - a. Overall experience with employer-sponsored retirement plans
 - b. Commitment to the retirement plans business
 - c. Education, honors, designations, and other credentials
 - d. Regular activities to stay current on market and regulatory developments
 - e. Area of expertise
 - f. Years with the firm
 - g. Role at the firm
 - h. Number of plans supported
 - i. Average size of plans supported
3. If the primary contact will not be the only person with whom we will be working, please list name(s), contact information, and profile information for each person including:
 - a. Overall experience with employer-sponsored retirement plans
 - b. Education, honors, designations, and other credentials
 - c. Area of expertise
 - d. Years with the firm
 - e. Role on the team serving our plan
 - f. Number of plans supported
 - g. Average size of plans supported
 - h. Number of plans lost this year

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C. INVESTMENT SERVICES:

1. Describe your firm's approach to retirement plan investment consulting.
2. What investment policy statement support do you offer?
3. What tools does your firm use to evaluate investment funds and managers?
4. Describe your investment research resources and capabilities.
 - a. How are investment benchmarks determined?
 - b. Is your investment research proprietary or from a third party?
5. Do you have a fund scorecard?
6. Do you have an investment watch list and what is your termination recommendation process?
7. What actions do you take when investments are not performing?
8. Provide a sample of a written recommendation provided to a client.
9. Describe any technology available to your firm (excluding technology of our provider).
10. Do you or a related company have relationships with money managers that you recommend, consider for recommendation, or otherwise mention to the plan? If so, describe those relationships.
11. Do you or a related company receive any payments from money managers you recommend, consider for recommendation, or otherwise mention to the plan for our consideration? If so, what is the extent of these payments in relation to your other income (revenue)?
12. Do you have any policies or procedures to address conflicts of interest or to prevent these payments or relationships from being a factor when you provide advice to your clients?
13. If you allow plans to pay your consulting fees using the plan's brokerage commissions, do you monitor the amount of commissions paid and alert plans when consulting fees have been paid in full? If not, how can a plan make sure it does not over-pay its consulting fees?
14. If you allow plans to pay your consulting fees using the plan's brokerage commissions, what steps do you take to ensure that the plan receives best execution for its securities trades?
15. Do you have any arrangements with broker/dealers under which you or a related company will benefit if money managers place trades for their clients with such broker-dealers?
16. If you are hired, will you acknowledge in writing that you have a fiduciary obligation as an investment adviser to the plan while providing the consulting services we are seeking?
17. Do you consider yourself a fiduciary under ERISA with respect to the recommendations you provide the plan?

D. CONSULTING SERVICES

1. Describe your vendor benchmark service and process.
2. Describe your service provider search ITN service and process.
3. In the past 36 months, how many third-party administrator (TPA), record-keeper, or trustee searches have you conducted for the DC and DB plans your firm supports?
 - a. How many of these resulted in a change in TPA, record-keeper, or trustee?
 - b. List the top three TPA, record-keepers, or trustees that you have recommended
4. With how many different service providers does your firm work to support current clients?
5. What experience do you have with our current service provider?
6. What plan design change initiatives have you led with your clients in the past 24 months?

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E. FIDUCIARY STATUS AND COMPLIANCE

1. What compliance resources does your firm provide?
2. Do you offer committee training, education, and support?
3. Describe potential conflicts of interest that may arise with the proposed advisory relationship.
4. If your firm has a written policy for addressing conflict of interest, please describe it.

F. OTHER

1. Please explain your firm's policy regarding receipt of any form of compensation or benefits from companies or individuals whose products or services you may refer or recommend.
2. What is your ability to offset fees with 12b-1 fees, finders' fees, or other fees embedded within the plans' investments?