Resources for Qualified Plan Fiduciaries

8-Enrollment Program Checklist

For Plan Sponsors

RRDM
WEALTH MANAGEMENT PARTNERS

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A Focus on Plan Fiduciaries

Plan sponsors, in their role as qualified plan fiduciaries, have the duty to act in the best interest of the plan and its participants. These worksheets and checklists have been designed to assist you in meeting your responsibilities, thereby helping to potentially mitigate your fiduciary risk.

The materials in this brochure have been created to provide a wide range of resources to help you manage your responsibilities and consider any current or future Qualified Plan needs.

As a Retirement Plan Advisor and AIF® we can provide further information and resources about your fiduciary duties, and help you understand how our worksheets and checklists can assist you in your fiduciary due diligence.

In providing information about ERISA standards and responsibilities, you must remember that this is general information only and you should consult your own attorney for specific legal questions on the application of ERISA to your plan.

Enrollment Program Checklist

Because of its importance, the plan enrollment process must be carefully managed and monitored. To minimize liability, plan sponsors should ensure eligible employees receive the requisite descriptive materials in a timely manner — and that there are available resources if they have questions. Your financial professional may be able to provide enrollment assistance to you.

Plan:______________________________ Date: ____________________

Enrollment Type	Support	Materials and Resources
☐ Census Enrollment ☐ Paper-Based Enrollment ☐ Online Enrollment	☐ Review available enrollment materials ☐ Develop enrollment deliverables calendar ☐ Design enrollment meeting agenda ☐ “Reserve” enrollment meeting rooms ☐ Lead enrollment meetings (or identify meeting leader) ☐ Identify post-enrollment meeting follow-up (telephone support, one-on-one meetings, 800#, etc.). Work with your recordkeeper as needed.	☐ Enrollment Kits & Workbooks ☐ Enrollment Forms ☐ Fund Fact Sheets ☐ Posters ☐ Prospectuses (or online access) ☐ Sample Participant Statements ☐ Participant Support or Help Center (Phone or Web) * ☐ Email Campaign *Your recordkeeper should be able to supply.

To the extent you are receiving investment advice from a separately registered independent investment advisor, please note that LPL Financial is not an affiliate of and makes no representation with respect to such entity.

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