Creating Your Own Model Portfolios

What You Need to Know as an Advisor

RETIREMENT PLAN CONSULTANTS

	Open-Architecture Lineup	3(38) Lineup: Our Models, DFA Target Date Funds	3(38) Lineup: Our Models, Vanguard Target Date Funds	3(38) Lineup: Your Models, DFA *or* Vanguard Target Date Funds
Plan Setup Worksheet	When turning in the Plan's Setup Worksheet, you will need to fill out our lineup appendix, write in your model portfolio names (if you'd like to create for the Plan) and attach a breakdown for each model by fund and ticker. Please note we need whole percentages for the model portfolio breakdown.	Since you are using our 3(38) lineup and model portfolios, there is no need to notate the details. After the Plan is ready to move forward, our New Business team and Regional Directors will communicate regarding the lineup, model portfolios and target date set of funds.	Since you are using our 3(38) lineup and model portfolios, there is no need to notate the details. After the Plan is ready to move forward, our New Business Team and Regional Directors will communicate regarding the lineup, model portfolios and target date set of funds.	Since you are using our 3(38) lineup, there is no need to notate a lineup. However, if you would like to create your own model portfolios from the list of funds in the lineup, please write in your model portfolio names and attach a breakdown. After the Plan is ready to move forward, our New Business Team and Regional Directors will communicate regarding the lineup and target date set of funds.
Enrollment Materials	**FUND FACT SHEETS** on individual funds are provided as well as an open-arch asset allocation questionnaire within the full enrollment book (link to this is within online enrollment process).	**FUND FACT SHEETS** on individual funds are provided as well as an open-arch asset allocation questionnaire within the full enrollment book (link to this is within online enrollment process). Model fact sheets are within full enrollment book (link within online enrollment process). **A GENERIC ENROLLMENT PRESENTATION** is provided (Regional Director to reach out to Advisor prior to enrollment to give copy of/direct to Advisor Toolkit).	**FUND FACT SHEETS** on individual funds are provided as well as an open-arch asset allocation questionnaire within the full enrollment book (link to this is within online enrollment process). Model fact sheets are within full enrollment book (link within online enrollment process). **A GENERIC ENROLLMENT PRESENTATION** is provided (Regional Director to reach out to Advisor prior to enrollment to give copy of/direct to Advisor Toolkit).	**FUND FACT SHEETS** on individual funds are provided as well as an open-arch asset allocation questionnaire within the full enrollment book (link to this is within online enrollment process). **A GENERIC ENROLLMENT PRESENTATION** is provided (Regional Director to reach out to Advisor prior to enrollment to give copy of/direct to Advisor Toolkit).
Quarterly Fund Reporting	Depending on the custodian, we may be able to sign you up to receive quarterly investment reports on your lineup.	**QUARTERLY SMART MONITORING REPORTS** are sent to you as well as your Plan Sponsors. **QUARTERLY WEBINARS** to review the reports are held.	**QUARTERLY SMART MONITORING REPORTS** are sent to you as well as your Plan Sponsors. **QUARTERLY WEBINARS** to review the reports are held.	**QUARTERLY SMART MONITORING REPORTS** are sent to you as well as your Plan Sponsors. **QUARTERLY WEBINARS** to review the reports are held.

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Website	**INVESTMENT INFORMATION & RETURNS SCREEN:** • Links to Morningstar, fund performance updated quarterly. Able to update portfolio/model returns quarterly, if you send to us and in our format for upload.	**INVESTMENT INFORMATION & RETURNS SCREEN:** • Links to Morningstar, fund performance updated quarterly. Portfolio/model returns updated quarterly. • Asset Allocation Questionnaire: Link on web page. • Model Fact Sheets: Link on web page. **MONTHLY INCOME CALCULATOR** on home page of participant screen. **SMART MONITORING REPORTS** uploaded to Plan Sponsor website. **RETIREMENT RESOURCES:** Subtab with a link to DFA Retirement Income Calculator (if using DFA Target Dates).	**INVESTMENT INFORMATION & RETURNS SCREEN:** • Links to Morningstar, fund performance updated quarterly. Portfolio/model returns updated quarterly. • Asset Allocation Questionnaire: Link on web page. • Model Fact Sheets: Link on web page. **MONTHLY INCOME CALCULATOR** on home page of participant screen. **SMART MONITORING REPORTS** uploaded to Plan Sponsor website.	**INVESTMENT INFORMATION & RETURNS SCREEN:** • Links to Morningstar, fund performance updated quarterly. Able to update portfolio/model returns quarterly, if you send to us and in our format for upload. **MONTHLY INCOME CALCULATOR** on home page of participant screen. **SMART MONITORING REPORTS** uploaded to Plan Sponsor website.
Ongoing Participant Notifications	**REBALANCING:** You can turn on via the participant website. **INVESTMENT CHANGE NOTIFICATIONS:** We have template, but you are responsible for distributing should any investment changes occur.	**REBALANCING:** Models are realigned quarterly, individual participants can opt to turn on rebalancing via the participant website. **INVESTMENT CHANGE NOTIFICATIONS:** We draft and mail to each participant within their quarterly statements. They may receive automatic notifications from the website, if they have opted to receive.	**REBALANCING:** Models are realigned quarterly, individual participants can opt to turn on rebalancing via the participant website. **INVESTMENT CHANGE NOTIFICATIONS:** We draft and mail to each participant within their quarterly statements. They may receive automatic notifications from the website, if they have opted to receive.	**REBALANCING:** You can turn on via the participant website. **INVESTMENT CHANGE NOTIFICATIONS:** We draft and mail to each participant within their quarterly statements. They may receive automatic notifications from the website, if they have opted to receive. Should we replace an investment from the core lineup that is within any of your model portfolios, it will also be replaced within the model portfolio.