MEDIQUS
ASSET ADVISORS, INC.

Results. One Client at a Time.[sm]

Retirement Plan Services

Financial Discovery Form

Our study will answer these important questions:

1. "How can we maximize contributions for key employees?"
2. "What are the costs associated with our plan and are they efficient?"
3. "How can we properly educate our employees about participating in our plan?"
4. "Can we improve upon the investment options available in our plan?"
5. "What are our legal obligations to employees and plan reporting when offering a plan?"

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www.mediqus.com

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Thank you for the opportunity to assist you with your organization's financial goals!

The following pages will provide us with information needed to accurately review your organization's Retirement Plan. Our form has been designed to gather much more than objective information about your financial world. More importantly, this form will be one of our on-going efforts to achieve the best possible understanding of your organization's unique needs. Please be assured that we treat this information with the highest level of confidentiality.

This form can gather substantial information with a minimal time investment from you. **However, if you simply hate to fill out forms, can't stand to detail the workings of your organization's financial life or just would rather spend your time doing other things, we have a suggestion.** Call our office at 800-883-8555 and schedule a time when we can speak on the telephone or in person **OR send us copies** of any available plan documents (408 b(2)/Plan Sponsor Statement/Summary Plan Description).

Thank you for the confidence you have placed with MEDIQUS. We welcome the responsibility of helping you reach your organization's financial goals. There will be nothing we take more seriously.

Sincerely,

Ronald J. Paprocki

Ronald J. Paprocki, JD, CFP®, CHBC
CEO

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Client Information

Organization Name:	
Plan Name:	
Primary Contact:	
Phone Number:	
E-mail Address:	
Address:	
City:	
State/ZIP:	
Preferred Contact Method?	

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Retirement Plan Information

Basic Plan Information

1. What type of plan is currently being used?

☐ 401(k) ☐ SEP ☐ IRA ☐ PSP ☐ Other: ____________

2. What is the current value of all plan assets?
(This would include all cash and securities for all participants): ____________

3. How many employees are currently enrolled in the plan? ____________

4. Does the plan allow for self-directed accounts (each participant has their own account and selects their own investments) or are all plan assets pooled (therefore only one account for all plan assets) or a combination of both? ____________

5. How many "Key Employees" are there in the plan? ____________

6. Is there an interest in increasing contributions for key employees? ____________

7. Is there a Third Party Administrator or Accountant that assists with preparing statements and/or tax reporting? ☐ Yes ☐ No

TPA/Accountant contact info:

Name: ____________

Phone: ____________

E-mail: ____________

8. When was the last time the plan was reviewed for potential improvements? ____________

9. Who conducted the review? ____________

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Plan Management and Expenses

Do you currently work with an investment advisor for the plan? (This advisor typically educates employees and provides details about investment options available in the plan) ☐ Yes ☐ No ☐ Unsure

If Yes:

Are you satisfied with the frequency of communications? ☐ Yes ☐ No

Are you satisfied with the quality of communications? ☐ Yes ☐ No

Are you aware of the advisor's process or methodology on handling the plan? ☐ Yes ☐ No

How is the advisor compensated?
(i.e., fee-based only, commissions) ______________________________

What is the average expense ratio associated with the investment options in the plan? ______% ☐ Unsure

What is the average cost associated with any Third Party Administrator or CPA? ______________________________

Are you aware of any other costs associated with the plan? ☐ Yes ☐ No

If so please describe:

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Retirement Plan Investment Options

What organization currently offers the investment options available in your plan?

Please indicate what investment options are available in your plan

- ☐ Mutual Funds
- ☐ Individual Stocks
- ☐ Exchange Traded Funds
- ☐ Separately Managed Accounts
- ☐ Private Placements
- ☐ Other

How many different investment options are available? ____________________

Do you feel participants are comfortable and educated in choosing investment options for their plan? ☐ Yes ☐ No

Are you happy with the investment options available and how they have performed? ☐ Yes ☐ No

How frequently do participants gather as a group to discuss the plan in general and the investment options available?

☐ Quarterly ☐ Annually ☐ Not at all ☐ Some other frequency

Please indicate your level of agreement or disagreement with the statement below:

The organization's key leadership feels that the Retirement Plan Services provided are meeting their intended objectives.

Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	Unsure

*Please don't forget to include any copies of available plan documents. Thank You!