

3 (38) INVESTMENT FIDUCIARY SERVICES FOR SMALL PLAN RECORDKEEPERS

Why now?

- Plan sponsors are asking advisors to accept investment fiduciary responsibility.
- Financial advisors are seeking solutions.
- Small plan sponsors need investment fiduciary liability protection, but may not be able to afford the cost.
- As a result of the DOL proposed extension of fiduciary status to financial advisors, some broker dealers are prohibiting their financial advisors from providing any investment advice to 401(k) and 403(b) plan sponsors.

Why Sunlin?

- Providing ERISA 3(38) fiduciary services since 2003
- Over 7 years experience providing small plan 3(38) products
- Attractive pricing models
- Flexible approach to product design, while maintaining strict fiduciary liability management
- Product attributes responsive to:
 - Distribution channels needs
 - Compensation arrangements
- Training and support provided for distribution team

Sunlin Small Plan 3(38) Product Available Features

- Sunlin is the Investment Manager, a fiduciary to adopting plans, pursuant to Sections 3(21)(A)(ii) and 3(38) of ERISA.
- Master Investment Policy will be provided for all adopting plans.
- Sunlin selects and monitors funds for a product's master list, including QDIAs.
- Fund selection from master list for each plan can be done by:
 - Financial Advisor
 - Plan Sponsor, or
 - Sunlin
- Sunlin places funds on watch list when appropriate.
- Sunlin replaces funds when appropriate.
- Sunlin provides electronically delivered personalized periodic investment monitoring report to plan sponsor and financial advisor.
- Financial advisor is alerted in advance for:
 - Fund being put on watch list
 - Fund being replaced

For more information, please contact:

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