CAPITAL GROUP®

American Funds®

Retirement plan services

Prospect interview worksheet

Gather information from retirement plan prospects

When talking to a potential retirement plan client, use this worksheet to compile information that can help you meet the needs of the prospect.

Plan basics

Company name

Home office address City State ZIP

Plan sponsor/Contact name Title

Phone number Email address

Number of employees Payroll provider

Does the company have multiple locations? ☐ No ☐ Yes — list locations

What are the employer's goals for the retirement plan?

Who does the employer want to pay plan costs?

- ☐ Employer — for whom plan costs are tax deductible
- ☐ Participants — through investment expenses and/or participant accounts
- ☐ Both employer and participants

Which, if any, retirement plan type(s) does the employer currently have?

☐ 401(k) ☐ Profit sharing ☐ 403(b) ☐ 457(b) ☐ Defined benefit ☐ Other

☐ SIMPLE IRA ☐ SEP IRA

If none or only a SIMPLE IRA or SEP IRA, complete the new/startup plan section on the next page.
If any other, skip the first section on the next page and complete the rest of the worksheet.

Investments are not FDIC-insured, nor are they deposits of or guaranteed by a bank or any other entity, so they may lose value.

For a new/startup plan, complete this section and you're done.

For an existing/takeover plan, skip this section and complete the rest of pages 2 and 3.

Questions to ask an employer who wants to start a new plan

How many business owners and employees have at least 5% ownership of the company? _____

Are there any employees that you would like to exclude from participation?

☐ None ☐ Union ☐ Other _____

Who do you want making contributions?

☐ Employer only ☐ Employees only ☐ Both employer and employees

When you have this information, call Capital Group at (888) 777-1579 for sales support.

Questions to ask a plan sponsor with an existing plan

Plan documents

Ask the employer and/or third-party administrator for a copy of the most recent:

- 408(b)(2) service provider fee disclosure report(s) for plan sponsors
- 404(a)(5) participant fee disclosure report

Note: These documents contain valuable plan information — such as fees, assets and investments — and are essential in finding a solution that can best meet each sponsor's specific needs.

The Capital Group Retirement Plan Sales Team will guide you if additional information is needed, from the simplest to the most complex plans.

General information

How many employees are eligible to participate? _____ How many are currently participating? _____

What is the approximate value of ... Plan assets? _____ Annual contributions? _____

What do you like about your current plan?

How is your current plan falling short of your needs or expectations?

Service providers

Who is the/Who provides:

Plan recordkeeper

Plan administration/third-party administrator (testing, tax reporting, etc.)

Fiduciary services (investment selection/monitoring, etc.)

Investments

What do you like about the plan menu?

What do you not like about the plan menu?

Does the plan have a Qualified Default Investment Alternative (QDIA)?

☐ No ☐ Yes, it is:

Plan participant experience

What do participants like about the plan?

What do they not like about the plan?

Next step: When you have this information, **call Capital Group at (888) 777-1579 for sales support**. We'll do everything we can to help you turn the prospect into a client.

Notes

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