

RFP QUESTIONNAIR

(Please answer questions on this form immediately after the question. Upon completion, convert the Word file to a PDF file prior to submission)

About Your Firm / Team

Please tell us about your firm. If your team is affiliated with a larger firm that includes multiple teams around the country, please tell us about your direct team.

1. Firm (Team) Name:
2. Address:
3. Contact for this RFP
Name:
Phone:
Fax:
Email:
4. Describe the ownership and structure of your firm (team)
5. List your firm's lines of business (including affiliated companies)
6. How many years has your firm been in business?
7. Briefly describe your firm's history
 - a. How many years has your firm (team) been servicing retirement plan clients?
 - b. Please provide documentation of your firm's history servicing retirement plan clients.
8. What is the total number of employee on your team?
 - a. Of those, number of employees who are Investment Advisory Representatives (IAR).
 - b. Do you use sub-contractors? If yes, who, and for what services?
9. What is the position of your team in the employer-sponsored retirement plans business?
 - a. Percentage of revenue from retirement plan investment advisory services?
 - b. Plan assets under advisement
 - c. Total number of clients with a defined contribution plan under your advisement.
 - d. Number of core client plans (with whom your team has regular quarterly contact).
 - e. Number of client plans added over the past 24 months
 - g. Publications your firm has created or contributed to

10. Please list the types of services your firm offers for retirement plans
14. Please list the federal, state, and other regulatory agencies with which your firm is licensed or registered, and the type of license held.
15. Have any individuals from your firm ever been disciplined by any government regulator for unethical or improper conduct or been sued by a client who was not happy with the work performed by the firm?
16. Has your firm or any advisor of your firm been found guilty of any violation or paid any fines because of violations of securities regulations or ERISA?
17. Is your firm bonded/insured? If so, what types of coverage, which carriers, and to what amounts?
18. Does your firm work with client plans on an advisory basis?
 - a. If applicable, please provide a copy of both parts of your firm's most recent SEC Form ADV.
19. Does your firm work with clients on a commission basis?

Service Team

1. Describe your service model to our plan (staff, responsibilities, interactions with our plan, frequency of in-person meetings, frequency of conference calls, team dynamics)
2. Primary contact for our proposed relationship:
 - Name:
 - Title:
 - City and State:
 - Phone:
 - Fax:
 - Email:
 - Overall experience with employer-sponsored retirement plans
 - Commitment to the retirement plan business
 - Education, honors, designations and other credentials
 - Regular activities to stay current on market and regulatory developments
 - Area of expertise
 - Years with the firm
 - Role at the firm
 - Number of plans supported
 - Average size of plans supported

3. Will the primary contact be the only person with whom we will be working? If no, please list name(s), contact information, and profile information for each person

Contact Name:

Title:

City and State:

Phone:

Email:

Overall experience with employer-sponsored retirement plans

Education, honors, designations, and other credentials

Area of expertise

Years with the firm

Role on the team serving our plan

Number of plans supported

Average size of plan supported

Number of plans lost in last 24 months

Investment Services

1. Describe your firm's approach to 401(k) plan investment consulting.
2. What investment policy statement support do you offer?
3. What tools does your firm use to evaluate investment funds and managers?
 - a. Which of these tools are proprietary to your firm, developed in-house, or specifically for your firm?
4. Describe your investment research resources and capabilities.
 - a. How are investment benchmarks determined?
 - b. Is your investment research proprietary or from a third party?
5. Do you hold performance review meetings with clients and what reports do they receive?
6. Will your firm offer investment advice to our plan? Please explain.

Participant Services

1. Please list the types of services your firm provides to retirement plan participants
2. Do you offer advice/education?
3. What resources do you have dedicated to participants?

4. Please provide 2 specific examples of ways in which your firm has made a positive impact on retirement plans you support over the past 24 months (For example: increase participation, increased deferrals, enhanced services, lowered fees, etc.)

Provider / Vendor Services

1. Describe your vendor benchmark service and process.
2. Describe your service provider search RFP service and process.
3. In the past 36 months, how many TPA / Recordkeeper / Trustee searches have you conducted for the Defined Contribution and Defined Benefit plans your firm supports?
 - a. How many of these resulted in a change in TPA/Recordkeeper Trustee?
 - b. List the top three TPA/Recordkeepers/Trustees that you have recommended.
4. With how many different service providers does your firm work with to support current clients?
5. What plan design change initiatives have you led with your clients in the past 24 months?

Fiduciary Status and Compliance

1. Do you intend to act as a fiduciary for the plan and/or its participants? If so/not what FINRA licenses do you currently hold?
2. What compliance resources does your firm provide?
3. Describe your fiduciary responsibility to our plan participants.
4. Describe potential conflicts of interest that may arise with the proposed advisory relationship.
5. Does your firm have a written policy for addressing conflict of interest? Please describe.
6. Have any of your clients been the subject of an investigation by the Department of Labor?

Fees

1. How is your firm compensated for services?
2. What percentage of your firm's revenue is derived from:
 - a. Commission relationships?
 - b. Advisory relationships?
3. Does your firm receive any form of compensation or benefits from companies or individuals whose products or services you may refer or recommend? Please explain.
4. Please describe **any and all** fees for services to our plan under this proposal, both direct and indirect.

5. How long will this fee structure be guaranteed?
6. How often will this fee structure be reevaluated as plan size grows?
7. Does your firm provide written agreement or a letter of engagement detailing services provided to our plan? Please include a sample.

Technology

1. Describe any technology available to your firm (excluding technology of our provider)
 - a. Which of this technology is proprietary to your firm, built in-house, or specifically for your firm?
2. What applications do you run that would be beneficial to our plan?
 - a. Which of these applications are proprietary to your firm?

Security and Business Continuity

1. Please describe the succession plan for the primary contact who will be working with our plan
2. Please describe the succession plan for your firm
3. Please describe your firm's data security measures
4. What is your privacy policy with regard to sharing client or account information with a third party?



CONFIDENTIALITY AND NONDISCLOSURE AGREEMENT

This agreement is made and entered into on this the ____ day of January, 2025, by and between the Paso del Norte Children's Development Center, having a place of business at 1101 E. Schuster, El Paso, Texas, hereinafter known as "The Center" and _____ hereinafter known as "Respondent".

The Center has developed certain confidential and/or proprietary information relating to the issuance of an RFP for 401K Advisor Services. In order for the Respondent to provide an RFP response that has the information necessary for The Center to effectively and fairly evaluate an RFP proposal from the Respondent, The Center understands that certain confidential information may need to be disclosed to the Respondent, including information relating to the Center's employees and payroll.

The Respondent hereby agrees to the following:

- i. To maintain the confidential information in the strictest confidence and not to disclose it to any third party;
- ii. Not to copy, except as necessary, to provide to applicable employees of the Respondent, and then, only with the express permission of the Center;
- iii. To take all reasonable precautions against any breach of confidentiality with respect to the confidential information;
- iv. If, upon the Center's permission, copies of confidential information are made, the recipients of said copies are to be informed of the obligations set forth in this agreement;
- v. To use the confidential information only for specific and legitimate purposes for the development of a proposal to the RFP issued by the Center;
- vi. Not to consign the confidential information to any third party; and
- vii. Upon request by the Center, return all confidential information (including all copies thereof) to the Center and provide the Center with written certification of compliance.

Violation of any of these covenants or this agreement herein may cause the Center irreparable harm and damage, which may not be recoverable by law, and the Center's remedies for a breach of this agreement may be in equity by way of injunctive relief to the Center whether in law or in equity.

Any confidential information and all copies shall be returned to The Center upon submission of the RFP proposal.

Respondent

By: _____

Date: _____