FRANKLIN TEMPLETON

Financial Professional evaluation questionnaire/survey

Complete the following so that we can best understand your satisfaction with the services and solutions currently being provided to you.

Name: ______________________ Title: ______________________

When you think about the services and solutions provided to your business retirement plan, please rate your Financial Professional on a scale of 1 to 7. Please indicate whether you agree or strongly disagree.

	Strongly Agree 7	6	5	4	3	2	Strongly Disagree 1	N/A
1 Plan review meetings: You are highly satisfied with the frequency, topics covered, suggestions made and usefulness of the information offered during these meetings. Plan agendas are provided beforehand, and the Financial Professional follows up after all meetings to ensure implementation of meeting outcomes.	☐	☐	☐	☐	☐	☐	☐	☐
2 Fiduciary education: Regular education on fiduciary implications and requirements is provided. Committee members view the Financial Professional as a knowledgeable and important resource. Your Financial Professional is a fiduciary of the plan: ☐ **Yes** ☐ **No**	☐	☐	☐	☐	☐	☐	☐	☐
3 Investment Policy Statements: Your Financial Professional assists you in the creation, monitoring and execution of an Investment Policy Statement (IPS). You have an IPS: ☐ **Yes** ☐ **No**	☐	☐	☐	☐	☐	☐	☐	☐
4 Investments: You regularly review market and economic data with your Plan Administrator (PA) and compare that to plan investment results. Your Financial Professional assists in evaluating when investments should be placed on a "watch list," as well as when it might be appropriate to remove or change investments.	☐	☐	☐	☐	☐	☐	☐	☐
5 Plan fees: Your Financial Professional regularly reviews whether your fees are reasonable and periodically assists in an RFP or benchmarking process to make sure your fees are in line with similar plans offering similar services. Your PA helped you fully understand the 408(b)(2) disclosures you received. You have a Fee Policy Statement: ☐ **Yes** ☐ **No**	☐	☐	☐	☐	☐	☐	☐	☐

	Strongly Agree 7	6	5	4	3	2	Strongly Disagree 1	N/A
6 Plan Administrator fees/compensation: You understand how your PA charges you for the services provided to the plan. Your PA regularly discusses how much these services cost and has explained different fee types and their implications (flat fee, asset-based, 12b-1, sub-TA, commissions, etc.). PA fee information is clearly documented for your files.	☐	☐	☐	☐	☐	☐	☐	☐
7 Plan design: As business needs change, your Financial Professional discusses changes to the Plan Document that might improve participant outcomes, reduce plan costs or allow certain employees to receive larger profit-sharing contributions.	☐	☐	☐	☐	☐	☐	☐	☐
8 Plan administration and recordkeeping: Your Financial Professional is a valued resource when participant records or plan-wide testing questions arise. Your PA assists with gathering data or reviewing statements, records and tests when needed. Suggestions for adding new services and streamlining current services are also offered.	☐	☐	☐	☐	☐	☐	☐	☐
9 Participant education services: Participant meetings cover appropriate topics, increase understanding and participation, and are held frequently enough. You have an Education Policy Statement: ☐ **Yes** ☐ **No**	☐	☐	☐	☐	☐	☐	☐	☐
10 I am fully satisfied with my Financial Professional in handling the plan.	☐	☐	☐	☐	☐	☐	☐	☐

Is there anything you wish your **Financial Professional** would assist you with or provide? Or is there anything in particular your Financial Professional does that you do not like?

Do you have any other comments, questions or concerns that we can help you with?

Thank you for your time completing this survey.

Sincerely,

For Financial Professional use with plan sponsors.

Any information, statements and opinions set forth herein are general in nature, are not directed to or based on the financial situation or needs of any particular investor, and does not constitute, and should not be construed as, investment advice, forecast of future events, a guarantee of future results, or a recommendation with respect to any particular security or investment strategy. Investors seeking financial advice regarding the appropriateness of investing in any securities or investment strategies should consult their financial professional.

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969821 TAPX015809-W4 12/20

INVESTMENT PRODUCTS: NOT FDIC INSURED • NO BANK GUARANTEE • MAY LOSE VALUE