

# PEP Evaluation Criteria



## Key PEP Roles

- Pooled Plan Provider (PPP)
- Recordkeeper
- TPA—(testing, compliance, 5500 reporting, benefit processing)
- ERISA 3(16)
- Financial Advisor
- ERISA 3(21)
- ERISA 3(38)
- Employee Education
- Trustee/Custodian
- Investments—Mutual Funds/Investment Funds/Managed Accounts
- Plan Document/Legal Support /ERISA Attorney
- Technical Services/Plan Design/Retirement Plan Consultant
- Bonding
- Auditor

## Who will fill the various roles?

- What roles do you want to play?
- What roles do you want to outsource?

## What is your definition of success and how will you measure it?

- AUM
- Number of Plans
- Headcount
- What is the minimum scale necessary to be successful?

## What is your marketing/product positioning strategy?

- What is your target market for the program?
- Existing clients
- Existing non-client takeover business
- Startup plans
- How will this product stack up competitively in the marketplace and why will it be better than other alternatives?
- How will you market the program?
- What tools will be used?

## What is the sales and distribution strategy?

- What is your sales plan and what are your goals for the program?
- How many plans do you expect to add annually?
- What do you expect the demographic average of those new plans to be?
- How do you plan to attain scale?

## What is the pricing structure?

Learn more about our PEP Solutions.

Contact the Pentegra Solutions Center at [solutions@pentegra.com](mailto:solutions@pentegra.com) or 855-549-6689.

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