

ROLAND | CRISS

Fiduciary GRC™ Solution

Combining the plan sponsor **relationship** you want,
with the fiduciary **security** you need.

Current litigation and regulatory trends prove that ERISA qualified retirement plans are among the greatest sources of legal risks for companies that sponsor those plans and for their financial advisors.

Roland|Criss is the premier provider of an integrated Governance, Risk, and Compliance management solution for the ERISA retirement plan market.

Roland|Criss' Fiduciary GRC Solution enables advisors to demonstrate superior competency in the ERISA market and unique value to retirement plan sponsor clients, while slashing their fiduciary risk.



Roland|Criss Will:

- Enable advisors to excel in their area of expertise
- Detach advisors from fiduciary risk under ERISA
- Substitute for plan sponsors in their fiduciary role
- Quantify advisor value for their clients
- Isolate advisors from “multiple-hat” risk

Roland|Criss Will Not:

- Upset the advisor/plan sponsor relationship
- Sell any kind of investment advice
- Provide multiple services to plan sponsors
- Engage in conflicts of interest
- Produce compliance assessments without the advisor's involvement

Fulfilling the 3(16) Requirement Under ERISA

By serving as an outsourced 3(16) plan administrator under ERISA, Roland|Criss fulfills the full scope of a plan sponsor's fiduciary responsibilities, without interfering with any aspect of the existing plan sponsor/financial advisor relationship.

Our Promise to Advisors

We promise advisors that we will not take action to replace an existing advisor with another service provider. Instead, we work with financial advisors to help them integrate best practices into their approach so that they – as well as their plan sponsor clients – create the best outcomes for retirement plan participants.

Non-Invasive Fee Structure

The **Fiduciary GRC** solution is a tiered, flat-fee rate based on plan size. So no advisor's plan income is impacted by the addition of our fiduciary assurance service.

For additional information, visit www.rolandcriss.com, or contact us at 800.440.3457.

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Do You Want to Leverage Your Time and Eliminate Your Clients' Fiduciary Exposure?

With Roland|Criss, retain the activities you want with plan sponsor clients, while losing the exposure to fiduciary risk that **you** don't need.

Fiduciary Disciplines	Task	Advisors' Typical Activities	Fiduciary Risks for Advisors	Plan Risks Eliminated by Fiduciary GRC™
Governance	Fiduciary committee meetings	✓		
Administration	408(b)(2) Compliance	✓	✓	✓
	404(c) Compliance	✓	✓	✓
	Timely allocation of DB plan contributions	✓	✓	✓
	Participant education - plan benefits	✓		
	Participant enrollment	✓		
	Plan statistics and measurements	✓		
Investments	IPS implementation	✓	✓	✓
	Investment mapping	✓	✓	✓
	Investment selection	✓	✓	✓
	QDIA selection	✓	✓	✓
	Investment changes	✓	✓	✓
	Fund change notices	✓	✓	✓
	Investment due diligence	✓		
	Quarterly performance reporting	✓		
	Participant risk profile and education	✓		
	Controls	IPS monitoring and maintenance	✓	✓
Service council meetings		✓	✓	✓