

# The world of retirement plan regulation is evolving. *Is your firm ready?*

RIA and broker-dealer home offices are facing tumultuous times, especially as fiduciary duty becomes a focal point for regulators. Firms can prevail, provided they are able to strengthen their compliance practices.

## **RetirementAdvantage**

Accessible to the home-office professional, *RetirementAdvantage* serves as a library of compliance documents that outline a firm's policies and procedures. It enables firms to place guardrails on registered representatives' and advisors' retirement plan activities.

Here, firms can access templates that specify the services representatives and advisors are permitted to provide to retirement plans, ensuring compliance with SEC, FINRA, and Labor Department regulations.

These documents and disclosures, prepared by PRI's team of ERISA lawyers and compliance professionals, address the latest in plan service offerings, including 3(21) and 3(38) fiduciary capabilities, as well as IRA rollovers, and policies and procedures for rollovers. Subscribers also have access to unlimited live support via phone.

## **Advisor Resource Center**

*RetirementAdvantage* users can also bolster their representatives' and advisors' plan business with PRI's Advisor Resource Center (ARC). There, advisors can access educational resources for enhanced practice management and tap into G-MAP, a 10-step roadmap that facilitates scalable plan governance.

Governance-Model Administrative Procedures (G-MAP) covers three modules: service providers, investments,

and plan administration and reporting. A fourth module on plan governance and documentation addresses plan sponsors' duty to track the decisions they make in the three aforementioned areas.

G-MAP instills strong risk management practices for plan sponsors and advisors through a web-based platform, which assists the home office in providing scalable training for advisors.

## **G-MAP+**

This cloud-based version of G-MAP redefines oversight for home offices. G-MAP+ provides a virtual vault for plans, where plan sponsors and advisors can upload relevant documents. Through this program, employers can also indicate whether their advisor provided relevant services per their agreement.

G-MAP+ provides access points for plan sponsors and home office supervisory personnel to track the progress and the completion of the 10 steps integral to the G-MAP process.

The retirement plan business is becoming increasingly complicated. Contact PRI to see how our unique set of tools and services can position home offices — and their advisors — for success.

## **ABOUT THE PENSION RESOURCE INSTITUTE**

*Integrating securities and ERISA compliance, PRI works with broker-dealers and investment advisors to develop and maintain competitive and compliant retirement plan services.*

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