Solicitation for plan proposal

Crafting a proposal is pivotal to your success in closing the deal. So we've created this document to serve as the foundation for developing a plan proposal that addresses your plan sponsor prospect's needs and requirements. When you're ready to seek pricing and service information from TD Ameritrade Trust Company, use this form to initiate the proposal generation process. Email the completed form to your sales consultant at TD Ameritrade Institutional. **Let's get started**.

1 Share some information about yourself

Provide some general information about yourself and your business so we can assess how best to work with you to craft the proposal.

Complete all applicable fields below:

Firm name: ______________________

Contact name: ______________________

TD Ameritrade Institutional advisor number: ______________________

Phone number: ______________________

Fax number: ______________________

Email: ______________________

Today's date: ______________________

2 Share some information about the employer as well as the current plan

Once we have the background information, we will assess the employer and plan information to customize a proposal based on the company's unique needs.

Complete all applicable fields below:

General employer information:

Company name: ______________________

Plan name: ______________________

Plan contact: ______________________

Address:

____

Street Address

____

City *State* *Zip*

Email: ______________________

Overview

Use this form to initiate the proposal generation process with your plan sponsor prospect. The form will guide you as you provide information on the following items:

- General information about yourself
- Information and details about the plan sponsor's employer and business
- Required documents for the recommended plan
- Proposed fund list for the recommended plan
- Indication of how you would like to present the proposal to the plan

TD Ameritrade

Complete all applicable fields below:

Current plan information:

○ New plan ○ Takeover plan

☐ 401(k) profit sharing plan ☐ 403(b) plan ☐ Money purchase pension plan ☐ 457(b) plan

☐ Other ______

Name of current plan provider: ______

Total plan assets: $ ______

Estimated annual contributions: $ ______

Total number of participants with account balances: ______

Investments:

Are any of the plan's current assets illiquid? ○ Yes ○ No

Are any of the plan's current assets invested in Guaranteed Insurance Contracts or Stable Value Funds? ○ Yes ○ No

If yes, please list. ______

3 Provide required documents on the current plan

Gather all documents for the proposed plan and submit those listed below to TD Ameritrade with this completed Solicitation for Plan Proposal. If you need guidance in locating or identifying these documents, turn to the "Smart Prospecting" sub-section of the TD Ameritrade Retirement Plan Playbook (tdaretirementplan.com/playbook) under **Business Development**.

Submit the following documents:

- 408(b)(2) annual fee disclosure(s)
- Most recent account statement/asset listing

These documents are required for existing plans and are not applicable for new or start-up plans.

4 Provide your proposed fund list for the plan

Consider what investments you will recommend for the proposed plan. To understand the many investment choices available through TD Ameritrade Trust Company's platform check the Fund Universe. This resource can be located in the "Refreshing Your Expertise" sub-section of the TD Ameritrade Retirement Plan Playbook "tdaretirementplan.com/playbook) under **Business Development**.

Submit the following documents:

- Please provide your proposed fund list with tickers in an attached document.

5 Indicate the format that you will be using to present your proposal

A well-designed approach can differentiate your services and help you close the deal. Consider the format that you would like to present and we will work with you to provide all materials.

Indicate your preference in the field below:

Today's date: ______________________

Electronic proposal only? ◯ Yes ◯ No

Date electronic payment needed: ______________________

Hard copy proposal needed? ◯ Yes ◯ No

Shipping address *(if applicable)*:

____
Street Address

____
City *State* *Zip*

Date hard copy proposal needed *(if applicable)*: ______________________

6 Provide any additional notes

Include any additional notes below that might help us work with you to finalize your proposal.

Notes:

If you have any questions during this process, please email TD Ameritrade Retirement Plan Solutions at RPS@tdameritrade.com

TD Ameritrade