HAGEN WEALTH MANAGEMENT

# 401(k) RETIREMENT PLAN ADVISORY SERVICES

Guidance today. Seeking better outcomes tomorrow.




At Hagen Wealth Management, we help employers design and manage retirement plans that aim to improve participant outcomes while supporting fiduciary responsibility, efficiency, and cost-effectiveness.

Our Retirement Plan Specialist provides guidance in investment strategy, fiduciary support, participant education, compliance, and plan governance.

We partner with you to create a retirement plan that works—for your employees, your business, and your peace of mind.

## INVESTMENT POLICY STATEMENT (IPS)

We help prepare or review your plan's IPS to align with your objectives, fiduciary responsibilities, and governance process—creating a clear framework for sound investment decisions.

## ONGOING INVESTMENT SUPPORT

### Investment Recommendations
Recommend appropriate investment options based on established criteria and plan goals.

### Investment Replacements
Identify and recommend replacement investments when current options no longer meet performance, risk, or suitability standards.

### Ongoing Monitoring
Monitor and evaluate investment performance against your plan's established benchmarks and investment policy guidelines.

### QDIA Assistance
Assist in the evaluation and selection of Qualified Default Investment Alternatives (QDIAs) designed to meet regulatory requirements and participant needs.

### Non-Discretionary Model Portfolios
Provide target-date or risk-based model portfolio recommendations for fiduciary review and approval.

## A PARTNER YOU CAN TRUST

Fiduciary guidance.
Investment expertise.
Participant focus.

## REPORTING & ANALYSIS

### Performance Reporting
Review investment performance, benchmark comparisons, and overall plan investment trends.

### Plan Benchmarking
Compare plan fees, services, and structure against current marketplace data and competitive proposals.

### Fee Identification
Help identify and evaluate plan-related expenses, including investment management, recordkeeping, administration, participant education, and advisory services.

## PLAN LIAISON SERVICES

We serve as a resource and point of coordination between your organization and service providers, including recordkeepers, TPAs, custodians, and investment vendors.

- Facilitate communication
- Resolve operational issues
- Coordinate with vendors
- Support implementation

## EDUCATION & PARTICIPANT SERVICES

We believe participant education is essential to improving retirement readiness and long-term financial wellness.

### Plan Committee Training
Provide fiduciary education and best-practice training for retirement plan committee members.

### Participant Education
Provide education on investing basics, diversification, risk awareness, retirement readiness, and plan features—without individualized advice.

### Enrollment Support
Conduct enrollment and education meetings to help employees understand plan benefits, contribution strategies, and retirement planning essentials.

## PLAN SEARCH & VENDOR SUPPORT

We simplify the process of evaluating retirement plan providers and services.

- Assist with RFP preparation and distribution
- Support proposal review and vendor evaluation
- Coordinate finalist interviews
- Assist with conversion and implementation processes



35+ YEARS OF EXPERIENCE

## WHY CHOOSE HAGEN WEALTH MANAGEMENT?

With more than 35 years of retirement industry experience, we combine fiduciary guidance, investment expertise, and participant education to help retirement plans operate efficiently and effectively.

## OUR COMMITMENT TO YOUR SUCCESS

FIDUCIARY GUIDANCE | INVESTMENT EXPERTISE | PARTICIPANT EDUCATION | BETTER OUTCOMES STRONGER FUTURES

Securities offered through LPL Financial, Member FINRA/SIPC. Investment advice offered through Gateway Wealth Partners, a registered investment advisor. Gateway Wealth Partners and Hagen Wealth Management are separate entities from LPL Financial.