

Gaining  
your share of  
retirement plan  
business is easier  
than you think.

# Build your retirement plan business

Whether you're getting started or retirement services are already part of what you offer, our flexible platform and specialists can help you win and manage retirement plans.

- Curated investments and model portfolios
- Customized plan design
- Fiduciary protection and due diligence
- Recordkeeping and administration options
- Dedicated service and support
- Practice management

For financial advisor use only.

# 97%

of defined contribution  
plans have <\$25M  
in assets\*

Only about half  
of workers in private  
companies with fewer  
than 50 employees have  
access to a retirement plan.\*\*

## Curated investments selected to support a range of financial goals

### Quality investments are high on Plan Sponsors' wish list.

AssetMark Retirement Services offers an investment lineup for a range of plan participant needs and financial goals.

Whether they're starting a new plan or updating an existing one, you can offer institutional share investments normally exclusive to big company plans:

- Risk-based portfolios
- Target-date portfolios
- Socially-responsible and faith-based portfolios
- Stand-alone funds representing diverse asset classes including: large-cap, small-cap, international stocks, bonds, alternative

### BENEFIT TO PLAN SPONSOR:

Institutional quality investments for their employees and access to high-net-worth solutions for themselves.

### BENEFIT TO PLAN PARTICIPANT:

Access to professionally managed, low-cost model portfolios — or the option to build their own.



---

Expand your business and deepen client relationships with an institutional-quality retirement practice.

---

## AssetMark Retirement Services is an ERISA-defined 3(38) investment manager

**You're backed by a team of experienced Due Diligence professionals who research** and monitor every investment we offer. The team watches allocations and rebalances model portfolios when needed. If and when it's time for a replacement, the team will research and present their recommendation.

Our Due Diligence services include:

- Investment policy statement
- Annual investment review
- ERISA 404(c) protection
- Qualified Default Investment Alternative (QDIA) selection

### BENEFIT TO PLAN SPONSOR:

Reduce fiduciary responsibilities and 3(38) liability related to investment selection and monitoring.

### BENEFIT TO PLAN PARTICIPANT:

A range of model portfolios and mutual funds that are researched and monitored by a team of due diligence professionals.



---

Plan sponsors seek financial advisors who can help them navigate the fiduciary responsibilities of retirement plans. AssetMark makes it easy.

---

## Customized solutions for your plan sponsors...

**AssetMark's knowledgeable consultants can customize a plan for your clients** based on their goals, employee demographics, and tax objectives. Our curated investments can work across plan types, asset size, or participant count.

### FLEXIBLE SERVICE OPTIONS

**Bundled Service:** investments, recordkeeping, and administration. This is a fully integrated, turnkey solution with end-to-end support from a single provider.

**Unbundled Service:** investments and recordkeeping. We can work with your plan sponsor's Third-party Administrator (TPA).

**3(38) Only:** our curated investment lineup is also available at select recordkeepers, and we can work with your plan sponsor's TPA.

**AssetMark PEP (Pooled Employer Plan):** we serve as 3(38) investment management fiduciary and we outsource recordkeeping, administration, and additional fiduciary services.

### BENEFIT TO PLAN SPONSOR:

The choice to use AssetMark Retirement Services, or use outside TPAs and recordkeepers.

### BENEFIT TO PLAN PARTICIPANT:

Access to investments, service, and resources normally available only to large corporate retirement plans.



---

We can work with you to benchmark plans, uncover opportunities for savings, and design a plan that fits the budget.

---

## Backed by the great service you expect from AssetMark

**Our service teams go to great lengths to support you,** so you can focus on what matters most — serving your clients and helping them achieve their goals. Our experienced team offers hands-on support, from plan design and conversion, to presenting to plan participants, we're with you every step of the way.

### SUPPORTED PLANS

- Defined Contribution
  - 401(k)/Profit-Sharing
  - Pooled Employer Plan (PEP)
  - 403(b)
- Defined Benefit
  - Cash Balance
  - Pension

### BENEFIT TO PLAN SPONSOR:

A retirement plan that helps companies attract and retain employees. Dedicated support at every step of the way.

### BENEFIT TO PLAN PARTICIPANT:

24/7 support, online and mobile access keeps plan participants up-to-date, even on-the go!



---

We provide dedicated service and support, regardless of plan size, so you can focus on your business.

---

# Expand your business with retirement plan services



Strengthen client relationships  
and attract new business



Grow your share of wallet  
and total assets



Increase the value and scalability  
of your business

## Let our experience and resources work for you

- Identify retirement opportunities
- Obtain a benchmark analysis of your client's current plan
- Request a proposal—we can help you present it to your clients

**Let us help you get started today.**  
Contact your [Regional Retirement Consultant](#)  
and schedule a consultation or visit  
[assetmark.com/retirement-solutions](https://assetmark.com/retirement-solutions)

### **AssetMark Retirement Services, Inc.**

1655 Grant Street  
10th Floor  
Concord, CA 94520-2445

### **Important Information**

AssetMark Retirement Services, its affiliates and representatives do not provide tax advice and the information presented here should not be considered to be tax advice. You should consult a tax professional for information relating to your particular situation.

AssetMark Retirement Services, Inc. is an affiliate of AssetMark, Inc. AssetMark Retirement Services is a division of AssetMark, Inc. AssetMark, Inc. is an investment adviser registered with the U.S. Securities and Exchange Commission.

©2023 AssetMark, Inc. All rights reserved.  
31462 | C21-17672 | 01/2023 | EXP 12/31/2024

For financial advisor use only.

