

Request for Proposal

To ensure proper processing, all fields are required and must be completed. Incomplete forms will not be processed and will delay receiving the plan Proposal and Service Agreement package. Once complete, please submit the Request for Proposal Form to PFS@pcsretirement.com.

Section 1 – Plan Information

Company Name: _____

Plan Name: _____

Total Plan Assets (Startup 1st year contributions): _____ Total Eligible Employees: _____

Proposed Installation/Conversion Date: _____

Type of Opportunity:

☐ Startup Plan

☐ Conversion Plan

Service Type:

☐ Fully Bundled

☐ Recordkeeping Only: TPA Name: _____

Plan Type:

☐ 401(k) Only

☐ ERISA 403(b)

☐ Tax Exempt 457(b)

☐ Profit Sharing Only

☐ Non-ERISA 403(b)

☐ Money Purchase

☐ 401(k) & Profit Sharing

☐ Governmental 457(b)

☐ Other: _____

Current Recordkeeper: _____

Current Custodian: _____

Section 2 – Plan Sponsor Information

Plan Sponsor: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Primary Contact/Executive Signer: _____

Email: _____ Phone Number: _____

Payroll Information:

Payroll Frequency: _____ Number of Payroll Divisions: _____

Payroll Provider/Vendor: _____

Section 3 – Financial Professional & Investment Information

Financial Professional Name: _____

Email: _____ Phone Number: _____

CRD or Rep Code: _____ Fiduciary Status: _____

Annual Compensation Method:

Fixed Dollar Amount \$ _____ (Per Year)

☐ Fixed Percentage _____ % (Per Year)

☐ Tiered Percentage Structure

Tier 1: \$0 to \$ _____ % of Plan Assets

Tier 2: \$ _____ to \$ _____ % of Plan Assets

Tier 3: \$ _____ to \$ _____ % of Plan Assets

Tier 4: \$ _____ to \$ _____ % of Plan Assets

Tiers applied to assets by:

☐ Linear: One Fee percentage is applied to all assets. Once a Plan's total assets surpasses a Tier's break-point, the new Fee percentage is applied to all assets in the Plan.

☐ Blended: A different Fee percentage is applied to each Tier of Plan Assets. Plan assets that fall in any range of the Tiers will be charged the commensurate Fee percentage associated with that Tier.

Investment Manger Selection:

☐ ABG Consultants *(Please choose one option, all options include a Fee of 0.09%)*

Active Management Fund Lineup (page 4)

☐ Add Target Date Series Funds

☐ Cost Conscious Fund Lineup (page 4)

☐ Add Target Date Series Funds

☐ Target Date Series & Money Market Fund (page 4)

☐ Build Your Own Fund Lineup | *Create your own fund lineup from fund list provided on page 5*

☐ Other *(Please provide the information on page 3)*

Outside Investment Manager Information

Firm Name: _____

Firm Fiduciary Status: ☐ 3(21) Fiduciary ☐ 3(38) Fiduciary

Investment Manger Fee:

☐ Fixed Dollar Amount \$ _____ (Per Year)

☐ Fixed Percentage _____ % (Per Year)

☐ Tiered Percentage Structure

Tier 1: \$0 _____ to \$ _____ % of Plan Assets

Tier 2: \$ _____ to \$ _____ % of Plan Assets

Tier 3: \$ _____ to \$ _____ % of Plan Assets

Tier 4: \$ _____ to \$ _____ % of Plan Assets

Tiers applied to assets by:

☐ Linear: One Fee percentage is applied to all assets. Once a Plan's total assets surpasses a Tier's break-point, the new Fee percentage is applied to all assets in the Plan.

☐ Blended: A different Fee percentage is applied to each Tier of Plan Assets. Plan assets that fall in any range of the Tiers will be charged the commensurate Fee percentage associated with that Tier.

Please list all Investment Options to be offered in the Plan below:

	Ticker	Fund Name	Cusip		Ticker	Fund Name	Cusip
1.				14.			
2.				15.			
3.				16.			
4.				17.			
5.				18.			
6.				19.			
7.				20.			
8.				21.			
9.				22.			
10.				23.			
11.				24.			
12.				25.			
13.				26.			

Miscellaneous notes: _____

ABGC Fund Lineups

Active Management Lineup		
Ticker	Fund Name	Category
PEQSX	Putnam Large Cap Value R6	Large Value
PLJMX	Putnam Research R6	Large Blend
PGOEX	Putnam Large Cap Growth R6	Large Growth
FVLKX	Fidelity® Value K	Mid Value
VSEQX	Vanguard Strategic Equity Inv	Mid Blend
LCMIX	ClearBridge Mid Cap Growth IS	Mid Growth
PSCMX	Putnam Small Cap Value R6	Small Value
VSTCX	Vanguard Strategic SmallCap Equity Inv	Small Blend
WGROX	Wasatch Core Growth	Small Growth
PINZX	Principal Overseas Instl	Foreign Large Value
MIEIX	MFS International Equity R6	Foreign Large Blend
FZAJX	Fidelity Advisor International Growth Z	Foreign Large Growth
FBNDX	Fidelity Investment grade Bond	Int Core Bond
DOXIX	Dodge & Cox Income X	Int Core-Plus Bond
PIMIX	PIMCO Income Instl	Multisector Bond
BGHSX	BrandywineGLOBAL High Yield IS	High Yield Bond
PTTEX	Putnam Global Technology R6	Technology
PGHAX	Putnam Global Health Care R6	Health
BIREX	BlackRock Real Estate Securities Instl	Real Estate
ATDDA1	AdvisorTrust FDIC Insured DDA	Money Market
VTWNX	Vanguard Target Retirement 2020 Fund	Target Series
VTTVX	Vanguard Target Retirement 2025 Fund	Target Series
VTHRX	Vanguard Target Retirement 2030 Fund	Target Series
VTTHX	Vanguard Target Retirement 2035 Fund	Target Series
VFORX	Vanguard Target Retirement 2040 Fund	Target Series
VTIVX	Vanguard Target Retirement 2045 Fund	Target Series
VFIFX	Vanguard Target Retirement 2050 Fund	Target Series
VFFVX	Vanguard Target Retirement 2055 Fund	Target Series
VTTSX	Vanguard Target Retirement 2060 Fund	Target Series
VLXVX	Vanguard Target Retirement 2065 Fund	Target Series
VSVNX	Vanguard Target Retirement 2070 Fund	Target Series
VTINX	Vanguard Target Retirement Income Fund	Target Series

Cost Conscious Lineup		
Ticker	Fund Name	Category
VVIAX	Vanguard Value Index Adm	Large Value
SWPPX	Schwab® S&P 500 Index	Large Blend
VIGAX	Vanguard Growth Index Admiral	Large Growth
VASVX	Vanguard Selected Value Inv	Mid Value
VIMAX	Vanguard Mid-Cap Index Fund	Mid Blend
VMGMX	Vanguard Mid-Cap Growth Index Admiral	Mid Growth
VSIAX	Vanguard Small Cap Value Index Admiral	Small Value
SFSNX	Schwab Fundamental US Small Company Idx	Small Blend
DSCGX	DFA US Small Cap Growth Instl	Small Growth
SFNNX	Schwab Fdmtl Intl Lg Co Idx	Foreign Large Value
VTMGX	Vanguard Developed Markets Index Admiral	Foreign Large Blend
DILRX	DFA International Large Cap Growth	Foreign Large Growth
VBTLX	Vanguard Total Bond Market Index Adm	Int Core Bond
BCOIX	Baird Core Plus Bond Inst	Int Core-Plus Bond
PIMIX	PIMCO Income Instl	Multisector Bond
BGHSX	BrandywineGLOBAL High Yield IS	High Yield Bond
VITAX	Vanguard Information Technology Idx Adm	Technology
VHCIX	Vanguard Health Care Index Admiral	Health
DFREX	DFA Real estate Securities I	Real Estate
ATDDA1	AdvisorTrust FDIC Insured DDA	Money Market
VTWNX	Vanguard Target Retirement 2020 Fund	Target Series
VTTVX	Vanguard Target Retirement 2025 Fund	Target Series
VTHRX	Vanguard Target Retirement 2030 Fund	Target Series
VTTHX	Vanguard Target Retirement 2035 Fund	Target Series
VFORX	Vanguard Target Retirement 2040 Fund	Target Series
VTIVX	Vanguard Target Retirement 2045 Fund	Target Series
VFIFX	Vanguard Target Retirement 2050 Fund	Target Series
VFFVX	Vanguard Target Retirement 2055 Fund	Target Series
VTTSX	Vanguard Target Retirement 2060 Fund	Target Series
VLXVX	Vanguard Target Retirement 2065 Fund	Target Series
VSVNX	Vanguard Target Retirement 2070 Fund	Target Series
VTINX	Vanguard Target Retirement Income Fund	Target Series

Target Date Series & Money Market Fund		
Ticker	Fund Name	Category
VTWNX	Vanguard Target Retirement 2020 Fund	Target Series
VTTVX	Vanguard Target Retirement 2025 Fund	Target Series
VTHRX	Vanguard Target Retirement 2030 Fund	Target Series
VTTHX	Vanguard Target Retirement 2035 Fund	Target Series
VFORX	Vanguard Target Retirement 2040 Fund	Target Series
VTIVX	Vanguard Target Retirement 2045 Fund	Target Series
VFIFX	Vanguard Target Retirement 2050 Fund	Target Series
VFFVX	Vanguard Target Retirement 2055 Fund	Target Series
VTTSX	Vanguard Target Retirement 2060 Fund	Target Series
VLXVX	Vanguard Target Retirement 2065 Fund	Target Series
VSVNX	Vanguard Target Retirement 2070 Fund	Target Series
VTINX	Vanguard Target Retirement Income Fund	Target Series
ATDDA1	AdvisorTrust FDIC Insured DDA	Money Market

ABGC Build Your Own Fund Lineup

To ensure ample diversification, custom Investment Lineups must include at least 1 Fund from each Fund Category marked with an Asterisk. (*)

Selection	Ticker	Fund Name
* Money Market *		
<input type="checkbox"/>	ATDDA1	AdvisorTrust FDIC Insured DDA
* Large Value *		
<input type="checkbox"/>	PEQSX	Putnam Large Cap Value R6
<input type="checkbox"/>	CBVBX	ClearBridge Value IS
<input type="checkbox"/>	OAZMX	Oakmark R6
<input type="checkbox"/>	SFLNX	Schwab Fundamental US Large Company Idx
<input type="checkbox"/>	VVIAX	Vanguard Value Index Adm
* Large Blend *		
<input type="checkbox"/>	PMYTX	Putnam Core Equity Fund R6
<input type="checkbox"/>	PLJMX	Putnam Research R6
<input type="checkbox"/>	DFSIX	DFA US Sustainability Core 1
<input type="checkbox"/>	SWPPX	Schwab® S&P 500 Index
<input type="checkbox"/>	VFIAX	Vanguard 500 Index Admiral
* Large Growth *		
<input type="checkbox"/>	PGOEX	Putnam Large Cap Growth R6
<input type="checkbox"/>	FZAFX	Fidelity Advisor® Equity Growth Z
<input type="checkbox"/>	VIGAX	Vanguard Growth Index Admiral
<input type="checkbox"/>	ILGRX	Delaware Ivy Large Cap Growth Fund R6
<input type="checkbox"/>	SWLGX	Schwab® US Large-Cap Growth Idx
* Mid Value *		
<input type="checkbox"/>	FVLKX	Fidelity® Value K
<input type="checkbox"/>	DFVEX	DFA US Vector Equity I
<input type="checkbox"/>	VASVX	Vanguard Selected Value Inv
<input type="checkbox"/>	VVOSX	Invesco Value Opportunities R6
* Mid Blend *		
<input type="checkbox"/>	WASMX	Boston Trust Walden SMID Cap
<input type="checkbox"/>	VSEQX	Vanguard Strategic Equity Inv
<input type="checkbox"/>	BMSYX	MFS Blended Research mid Cap Eq R6
<input type="checkbox"/>	PMAPX	Principal MidCap S&P 400 Index R-6
<input type="checkbox"/>	VIMAX	Vanguard Mid-Cap Index Fund
* Mid Growth *		
<input type="checkbox"/>	LCMIX	ClearBridge Mid Cap Growth IS
<input type="checkbox"/>	VMGMX	Vanguard Mid-Cap Growth Index Admiral
<input type="checkbox"/>	VRMCX	Virtus KAR Mid-Cap Core R6
<input type="checkbox"/>	BMDIX	Baird Mid Cap Growth Institutional
<input type="checkbox"/>	VLMIX	Value Line Mid Cap Focused Institutional
* Small Value *		
<input type="checkbox"/>	PSCMX	Putnam Small Cap Value R6
<input type="checkbox"/>	PSMVX	Principal SmallCap Value II R6
<input type="checkbox"/>	UBVFX	Undiscovered Managers Behavioral Val R6
<input type="checkbox"/>	VSIAX	Vanguard Small Cap Value Index Admiral
<input type="checkbox"/>	DFSVX	DFA US Small Cap Value I
* Small Blend *		
<input type="checkbox"/>	LMBMX	Franklin U.S. Small Cap Equity IS
<input type="checkbox"/>	SFSNX	Schwab Fundamental US Small Company Idx
<input type="checkbox"/>	DFSTX	DFA US Small Cap I
<input type="checkbox"/>	VSTCX	Vanguard Strategic Small-Cap Equity Inv
<input type="checkbox"/>	DFSCX	DFA US Micro Cap I
* Small Growth *		
<input type="checkbox"/>	PLKGX	Putnam Small Cap Growth R6
<input type="checkbox"/>	FIDGX	Fidelity Advisor® Small Cap Growth Z
<input type="checkbox"/>	VEXRX	Vanguard Explorer Adm
<input type="checkbox"/>	WGROX	Wasatch Core Growth
<input type="checkbox"/>	DSCGX	DFA US Small Cap Growth Instl
Foreign Large Value		
<input type="checkbox"/>	FMEUX	Franklin Mutual International Value R6
<input type="checkbox"/>	PIGWX	Putnam International Value R6
<input type="checkbox"/>	SFNNX	Schwab Fdmtl Intl Lq Co Idx
<input type="checkbox"/>	PINZX	Principal Overseas Instl
<input type="checkbox"/>	GSUKX	Goldman Sachs International Eq Inc R6

Selection	Ticker	Fund Name
* Foreign Large Blend *		
<input type="checkbox"/>	LIESX	Franklin International Equity IS
<input type="checkbox"/>	MIEIX	MFS International Equity R6
<input type="checkbox"/>	VTMGX	Vanguard Developed Markets Index Admiral
<input type="checkbox"/>	DIHRX	DFA Intl Hi Relatv Profitability Instl
<input type="checkbox"/>	INVYX	Pioneer International Equity Y
Foreign Large Growth		
<input type="checkbox"/>	LMGPX	ClearBridge International Growth IS
<input type="checkbox"/>	DILRX	DFA International Large Cap Growth
<input type="checkbox"/>	BUIIX	Buffalo International Institutional
<input type="checkbox"/>	FZAJX	Fidelity Advisor® International Growth Z
<input type="checkbox"/>	FCIWX	MainStay PineStone International Eq R6
* Intermediate Core Bond *		
<input type="checkbox"/>	WABSX	Western Asset Intermediate Bond IS
<input type="checkbox"/>	VCOBX	Vanguard Core Bond Admiral
<input type="checkbox"/>	VBTLX	Vanguard Total Bond Market Index Adm
<input type="checkbox"/>	RFBGX	American Funds Bond Fund of Amer R6
<input type="checkbox"/>	FBNDX	Fidelity® Investment Grade Bond
* Intermediate Core-Plus Bond *		
<input type="checkbox"/>	DOXIX	Dodge & Cox Income X
<input type="checkbox"/>	DPZRX	Delaware Diversified Income R6
<input type="checkbox"/>	STYJX	Allspring Core Plus Bond R6
<input type="checkbox"/>	BCOIX	Baird Core Plus Bond Inst
<input type="checkbox"/>	FBKWV	Fidelity Advisor® Total Bond Z
* Multisector Bond *		
<input type="checkbox"/>	LFLSX	BrandywineGLOBAL Flexible Bond IS
<input type="checkbox"/>	PIMIX	PIMCO Income Instl
<input type="checkbox"/>	FIWDX	Fidelity Advisor Strategic Income Z
<input type="checkbox"/>	PLSRX	Aristotle Strategic Income I
High Yield Bond		
<input type="checkbox"/>	FHRRX	Franklin High Income R6
<input type="checkbox"/>	BGHSX	BrandywineGLOBAL High Yield IS
<input type="checkbox"/>	BRHYX	BlackRock High Yield Bond K
<input type="checkbox"/>	PHYFX	Principal High Yield R-6
Technology		
<input type="checkbox"/>	PTTEX	Putnam Global Technology R6
<input type="checkbox"/>	CGTUX	Columbia Global Technology Growth Inst3
<input type="checkbox"/>	VITAX	Vanguard Information Technology Idx Adm
<input type="checkbox"/>	FIKHX	Fidelity Advisor® Technology Z
Health		
<input type="checkbox"/>	PGHAX	Putnam Global Health Care R6
<input type="checkbox"/>	VHCIX	Vanguard Health Care Index Admiral
<input type="checkbox"/>	JFNNX	Janus Henderson Global Life Sciences N
<input type="checkbox"/>	BHCHX	Baron Health Care Instl
Real Estate		
<input type="checkbox"/>	PFRSX	Principal Real Estate Securities Fd R-6
<input type="checkbox"/>	DFREX	DFA Real Estate Securities I
<input type="checkbox"/>	BIREX	BlackRock Real Estate Securities Instl
<input type="checkbox"/>	VREQX	MainStay CBRE Real Estate R6
Target Series		
<input type="checkbox"/>	VTWNX	Vanguard Target Retirement 2020 Fund
<input type="checkbox"/>	VTTVX	Vanguard Target Retirement 2025 Fund
<input type="checkbox"/>	VTHRX	Vanguard Target Retirement 2030 Fund
<input type="checkbox"/>	VTTTHX	Vanguard Target Retirement 2035 Fund
<input type="checkbox"/>	VFORX	Vanguard Target Retirement 2040 Fund
<input type="checkbox"/>	VTIVX	Vanguard Target Retirement 2045 Fund
<input type="checkbox"/>	VFIXX	Vanguard Target Retirement 2050 Fund
<input type="checkbox"/>	VFFVX	Vanguard Target Retirement 2055 Fund
<input type="checkbox"/>	VTTSX	Vanguard Target Retirement 2060 Fund
<input type="checkbox"/>	VLXVX	Vanguard Target Retirement 2065 Fund
<input type="checkbox"/>	VSVNX	Vanguard Target Retirement 2070 Fund
<input type="checkbox"/>	VTINX	Vanguard Target Retirement Income Fund