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American Funds®

Recordkeeper Direct® Fact Finder

Complete this form to request a Recordkeeper Direct retirement plan proposal and customized talking points for your final presentation with a plan sponsor. Please note that the talking points are for adviser use only and are intended to help you focus your discussion on the issues that matter most to the plan sponsor, based on your answers below.

Today's date ____/____/____ (mm/dd/yyyy) Date of presentation ____/____/____ (mm/dd/yyyy) Number of proposal copies required ________

Would you like to order customized talking points for your final presentation? ☐ Yes ☐ No

1 Adviser information

Adviser's name ____________ Firm/Broker-dealer name ____________

Address (No P.O. boxes please) ____________

City ____________ State ____ ZIP ______-____

Phone ( ) ______ Ext: ____ Fax ( ) ______ E-mail ____________

Did you attend an American Funds *Presenting with Confidence* meeting? ☐ Yes ☐ No

2 Client/ Prospect information

Plan sponsor name ____________

Plan type: ☐ 401(k) ☐ Profit-sharing ☐ Money purchase ☐ Safe harbor 401(k) ☐ New comparability

Eligible employees ______ Number of participants ______ Takeover or start-up date ____/____/____ (mm/dd/yyyy)

(Recordkeeper Direct is available for plans with up to 400 eligible employees)

If a takeover, total plan assets $ ____________

Current TPA ____________

Proposed TPA UNITED BENEFIT PENSIONS INC.

Additional adviser considerations

Retirement plan investment share class: ☐ R-2 ☐ R-3 ☐ R-4 ☐ R-5 ☐ Unknown

Note that Class R-5 shares are available only to plans with assets of $1 million or more. Class R-1 shares are not available for Recordkeeper Direct plans. For more information on Class R shares, or to obtain a preliminary fee quote using our Price It tool, visit **americanfunds.com/adviser** *(click: Retirement Plans > Recordkeeping & Pricing).*

Does your client need a referral to an authorized TPA? ☐ Yes ☐ No

Will the proposed TPA accompany you to your final presentation? ☐ Yes ☐ No

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FOR ADVISER USE ONLY

3 Current plan evaluation

Use the questions in each of the categories below to begin learning about your prospect's greatest concerns. Then ask your prospect to **rank their current plan provider's performance** using the rating system provided. This information will be used to create customized talking points for your final presentation meeting — organized using the same categories as our *Retirement Plan Proposal*.

If your prospect doesn't currently have a plan, please skip this section and you will receive talking points for the issues most common to start-up plans.

(1 = Often exceeds expectations 2 = Meets expectations 3 = Does not meet expectations)

Investments

Are you satisfied with your plan's investments?

___ suitability of investment choices

___ investment expenses *(too high? — rank "3")*

___ investment results (compared to benchmarks)

Is there a process used to evaluate investment managers? ☐ Yes ☐ No ☐ Unknown

Administrative services

Are you satisfied with your current plan's administration and recordkeeping?

___ current administration provider

___ current recordkeeping provider

Employee education

How do you feel about your plan's employee education?

___ overall employee appreciation of the plan

___ employee participation in the plan

___ frequency of employee education meetings

___ availability of Spanish-language materials

Plan costs

Do you think your plan's costs are reasonable?

___ investment pricing

___ administration and recordkeeping fees

___ trustee service fees

If you would like more questions to initiate the discussion with your prospect, you can download our *Retirement Plan Prospect Interview* from americanfunds.com/adviser (click: Retirement Plans > Retirement Plans Center > Fact-Finding).

4 Next steps

After you've completed the current plan evaluation, ask your prospect if they'd like you to present a proposal.

If "yes" ▶ Schedule your meeting (*Please allow 8 to 10 business days for the delivery of your proposal.*)

If "no" ▶ Refer to the *Presenting with Confidence* brochure (pages 2 and 3) for a list of resources that may help you address your prospect's outstanding concerns.

Notes:

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For advisers only. Investors should carefully consider the objectives, risks, charges and expenses of the American Funds and, if applicable, any other investments in their plan. This and other important information is contained in the funds' prospectuses, which are available from their plan's adviser and should be read carefully before investing.

To receive your customized talking points instantly, you can complete the online version of this form at americanfunds.com/adviser. Or fax this form to the service center listed below for your state.

AK, AZ, CA, HI, ID, NM, NV, OR, WA	AL, AR, CO, IA, IL, KS, LA, MN, MO, MS, MT, ND, NE, OK, SD, TN, TX, UT, WI, WY	IN, KY, MI, NJ, NY (upstate), OH, VT	CT, DC, DE, FL, GA, MA, MD, ME, NC, NH, NY (metro), PA, RI, SC, VA, WV
Brea, CA Fax: 714/257-5882	**San Antonio, TX** Fax: 210/474-4538	**Indianapolis, IN** Fax: 317/735-6672	**Hampton Roads, VA** Fax: 757/670-4782

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Visit us at americanfunds.com/adviser.

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