

Mackenzie Group Plans



**Group Plans Fact
Finding Questionnaire**

Information (Company Profile)

Company Name _____

Name of primary contact _____

Address _____

Phone _____

E-mail _____

Subsidiaries _____

Type of industry _____

Number of years business in existence _____

Number of employees _____

Is there an existing plan? YES NO (If YES, please turn to page 4)

Fact finding for a Company without a Group Plan

There are four key reasons companies offer Group Retirement Savings Plans. I would like you to tell me whether or not each of these reasons applies here.

First, the plan can be a **reward or incentive for employees**. What current form of reward or incentive do you provide for your employees? Is this a big concern to you? Why?

Secondly, to provide **tax and savings benefits** for owners or key managers as well as all other employees. Do you feel it is more important to provide the company tax savings or your employees a tax savings? A combination of both? How important of a factor is this?

Third, as a tool for remaining competitive, particularly in **recruiting and retaining key employees**. What method do you currently use to recruit and retain employees? Is this an area for concern?

Fourth, **for moral reasons**, because the company wants to help employees work towards their retirement. How do you feel about that?

Next, there are four major reasons companies don't think they can provide a plan. Again, tell me if these are relevant.

First is **cost**. How important is this to you? What do you feel would be a reasonable cost?

Secondly is the fear of **employer fiduciary responsibilities**. How much of a concern is this to you? Would you welcome the opportunity to shift the selection of investments and responsibility for performance to employees?

Third is the ability to offer **quality investment choices**. Would you like employees to have a choice among several professionally managed portfolios with different objectives?

The fourth reason is **administrative complexity** and too time consuming. Do you feel a group plan would be an administrative burden or too time consuming? If yes, in what way?

Next, I would like to understand your needs in relation to possibly setting up a plan.

If you were to put a plan in place, when would you like to accomplish this?

Who are the key people who would be involved in decisions regarding the plan?

Are you currently evaluating other proposals or vendors? YES NO

Are any employees located in other provinces?

Are you considering contributing towards your employees retirement? How much? OR, why not?

Would you allow me to prepare a customized proposal for your company's Group Plan needs at no cost or obligation to you?

YES NO

Fact finding for a Company with an Existing Plan

How long has the plan been in existence?

What type of plan is it? Group RRSP DPSP DC Pension Plan Other

Who is the current provider of your plan?

How many employees are eligible to participate?

What is the current eligibility requirement?

How many employees currently participate?

What are the total existing assets?

Where are the current assets primarily invested? GICs Mutual funds Seg funds Other

How much did this plan cost the company last year?

Who makes the investment decisions?

Are any members (employees) located in other provinces?

Do you currently make plan sponsor (employer) contributions to the plan? How much? What is the maximum?

How effective do you feel this plan is for your company?

Do you feel the retirement funding is adequate for members? Why or why not?

How do members feel?

What types of plan communication are currently being provided to members?

- | | | |
|---|---|--|
| <input type="checkbox"/> Seminars | <input type="checkbox"/> Financial counseling | <input type="checkbox"/> Retirement planning |
| <input type="checkbox"/> Telephone/voice response | <input type="checkbox"/> Newsletters | <input type="checkbox"/> Internet |
| <input type="checkbox"/> Retirement planning software | <input type="checkbox"/> Videos | <input type="checkbox"/> Other |

Do you have many complaints or requests about the plan?

To what extent does the plan put a cost burden on the company?

If you could change one thing about your plan, what would it be?

Next, I would like to understand your needs in relation to any changes you may be thinking about in your existing plan.

How likely are you to modify or change your plan in the near future?

What do you feel would be the single most important reason to modify or change your existing plan?

If you were to modify or change your plan, when would you like to accomplish this?

Who are the key people who would be involved in decisions regarding the plan?

Are you currently evaluating any other proposals? YES NO

If yes, may I ask which ones?

Have you yet formed any conclusions regarding them?

Would you allow me to prepare a customized proposal for your company's Group Plan needs at no cost or obligation to you?

YES NO

Other Comments:

What is the Next Step?

- Based on the plan sponsor's responses to the questionnaire determine the type of plan that will best suit their needs.
- Prepare a customized proposal (Mackenzie can customize this for you with two weeks notice).
- Meet with the plan sponsor to go over the proposal.

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TOUCH-TONE PHONE You also have convenient and direct access to all your fund and account information by calling the Mackenzie AccessLine at
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1 800 440 0577

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GENERAL INQUIRIES

For all of your general account information please call:

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1 800 387 0614

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For all your Group Plan administration inquiries please call:

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