Retirement Research Inc.

RRI Market Monitor^{SM} Series
2010 Reports

☐	**Pricing and Broker Compensation in the Small Plan 401(k) Market.** Analysis of the all-in cost of various products available to the small plan 401(k) market. Pricing analysis includes asset-based fees (fund expense ratio, wrap fees and other) and billable service fees. Also explores the extent to which specific services are bundled or unbundled with other plan fees and ranges of fees among leading providers for unbundled services (such as loan setup and administration). Analysis of pricing and broker compensation payable under various scenarios using standard assumptions. Comparative analysis and commentary.	Revised and Expanded Released: August, 2010 Title Price: $3,500
☐	**Retirement Income Market Overview.** A comprehensive look at the emerging Retirement Income market. The shift from accumulation to distribution is gaining momentum and the retirement phase offers product and service providers the opportunity of extending the participant relationship another 2 decades, often longer. Providers are beginning to combine products and services, offer them in more than one channel and include health and welfare options. This report discusses the various types of products, service offerings and hybrid packages available in this dynamic sector. Offerings are viewed both by provider type and by their relationship to qualified retirement plans. Examples of current and anticipated products and packages offered by leading providers are also included. This report both updates core information from the 2009 report and explores new topics.	Revised and Expanded Released: May, 2010 Title Price: $4,500
☐	**Retirement Markets Overview**. A data-rich overview of the retirement markets. Primary focus on the size, segmentation, projected new business opportunities and key trends in the 401(k) market. Enhanced focus on the 403(b) and 457 markets. Also addresses the DB, SEP/SIMPLE/Solo (k), IRA Rollover, Retirement Income and non-qualified supplemental plan markets. This report is produced annually in April. This report is also released in partnership with R.G. Wuelfing & Assoc./SPARK as Retirement Market in Focus.	Updated Annually Released: May, 2010 Title Price: $4,500
☐	**Working with Today's Retirement Plan TPAs.** Usage and prevalence of the "TPA interface" model to service small and mid-sized 401(k) plans as an alternative to the fully bundled model. Comparison of leading providers programs and products. Market penetration as measured by current sales. Revenue sharing arrangements in use by the leading TPA service model providers. Discussion of current issues and trends, including ASP recordkeeping technology, open architecture trading platforms and the potential competitive threat of full service TPA firms to traditional providers. This report both updates core information from the 2009 report and explores new topics.	Revised and Expanded Due 2nd Quarter, 2010: Title Price: $4,500 *Purchasers of this report receive the currently available report at no charge.*
☐	**Working with Today's Retirement Plan Advisors. Special focus on RIAs and other fee-based Advisors.** The role of advisors to 401(k) plans is in transition in response to rapidly changing plan sponsor needs and expectations and regulatory focus on fees and fiduciary issues. This report sizes and segments the universe of active 401(k) advisors. It also explores key trends, including the shift from the occasional advisor to specialists, the move to fee-based compensation models, advisor assumption of a fiduciary role and the movement of specialists to non-traditional channels - and how providers are responding to accommodate them. Implications for provider distribution strategy and structure are discussed. Also includes a look at leading full-service BD expectations of platform providers, requirements for a product to be approved for sale and for a provider to become a preferred partner, ongoing due diligence process, financial and non-financial support expected and the movement within their organizations to accommodate retirement plan specialist advisors.	Due: 3rd Quarter, 2010 Title Price: $4,500
☐	**Fiduciary Support, Fee Disclosure and the Emerging Investment Platform.** A comprehensive look at trends in investment fiduciary support services and models. The report includes discussion of asset allocation modeling, use of 3rd party investment management, fiduciary warranties and provider acceptance of fiduciary responsibility. Providers are beginning to offer services in more than one channel. Independent 3rd party fiduciary services and tools are proliferating. Differences in services offered in the bundled market as well as the fee-based/ RIA channel are discussed. The report also explores trends in investment platforms, including increased availability of open architecture platforms, revenue neutrality and equalized compensation and support of reimbursement accounts. Finra, the DOL and Congress all are exploring issues relating to advisor fiduciary responsibility, transparency and appropriate investments. The potential effect of these initiatives on providers and how it affects sponsor relationships is discussed.	Due: 4th Quarter, 2010 Title Price: $4,500

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