Retirement Plan Oversight Tool

Amplifying the Power of Pershing's Retirement Plan Network

Key Considerations

Are you prepared for the evolution of regulatory changes facing the retirement plan industry?

Do you have insight into how your advisors are providing services to their retirement plan business?

Have you set up a framework for communicating and monitoring adherence to your firm's policies for conducting retirement plan business?

Do you have advisors with varying degrees of experience conducting retirement plan business?

Can you comfortably oversee a range of advisor expertise?

Today more than ever, firms need to analyze and monitor the potential risk associated with their qualified plan business. Pershing's Retirement Plan Network in NetX360® features the integrated Retirement Plan Oversight Tool to help increase visibility into your firm's qualified plan business.

The Retirement Plan Oversight Tool supports workflow management by enabling firms to set up, communicate and monitor requirements that their advisors must adhere to when prospecting, selling and providing services to qualified retirement plans.

Set Up the Framework—Firms can set up the framework from a list of available options and tailor requirements for multiple groups of advisors. Firms can define groups to best fit their business models, such as by varying levels of experience, training, industry certification or methods of compensation.

Communicate the Requirements—Once set, requirements are communicated to advisors directly through the Retirement Plan Oversight Tool. The tool allows firms to obtain an acknowledgement from advisors that they will comply with the list of requirements as outlined.

Monitor Adherence—Firms can monitor adherence to their established requirements by having advisors upload plan-specific documentation such as agreements, meeting notes and exhibits into the Retirement Plan Oversight Tool. A reporting feature makes it easy to download dashboard data for all, or a subset of entitled users.

Contact us for more information on how the Retirement Plan Oversight Tool amplifies the power of Pershing's Retirement Plan Network to support your retirement plan business. Call us at (844) 291-1744 or email us at retirementplannetwork@pershing.com.

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