



July 2014

Dear Valued ICMA-RC Participant,

As part of the ICMA-RC's ongoing commitment to product and service quality, we are conducting a survey of [CLIENT NAME] 457 plan participants. The survey is being conducted in order to gain a broader understanding of how we can provide you with the best customer experience.

The survey addresses many of the product features and services associated with your plan, as well as your approach to personal financial planning. While you will probably be familiar with most of these features and services, you may not have utilized some of them, so please feel free to respond to all items that apply to you. Please complete and return the survey by XX DATE. A pre-paid reply envelope has been included for your convenience.

Thank you in advance for completing this survey. Your responses are extremely important to us and will greatly assist us in providing you with the products and services you desire.

Sincerely,

[ICMA-RC ASSOCIATE NAME]  
Director, Relationship Management  
ICMA-RC



# ICMA-RC

## [CLIENT NAME] Participant Survey

**Instructions:** Please indicate your response to each of the following items below by checking the appropriate box. Please respond only to those questions that apply (leave others blank).

### Indicative

- Please check the age category that applies to you:  
 Under 35       35 – 44       45 – 54     55 – 65       Over 65
- Please provide your union affiliation:  
 ATU, Local 265       AFSCME, Local 101       SEIU, Local 521       TAEA, Local 21       Non-Represented
- Please check how many years you have worked for [CLIENT NAME]:  
 1 – 5 years       6 – 10 years       11 – 15 years       16 – 20 years       Over 20 years
- Please indicate your planned retirement age:  
 50 – 55       56 – 60       61 – 65     Over 65
- Please indicate your planned retirement year:  
 2010 – 2015       2016 – 2020       2021 – 2025       2026 – 2030       Beyond 2030
- Please indicate the amount you have saved for retirement (e.g., 457 deferred compensation, 401(a), 401(k), 403(b) and IRA accounts):  
 Under \$25,000       \$25,000 – \$49,999       \$50,000 – \$74,999       \$75,000 - \$99,999       Over \$100,000

### Personal Financial Planning

- Are you on target to meet your retirement savings goals?       Yes       No       Don't Know
- Which of the following tools (if any) do you utilize for personal financial planning? (Check all that apply.)  
 Statement of Financial Position     Statement of Cash Flow       Budgeting     None
- Below are five approaches (1 through 5) typically used for financial planning. For each type of financial planning in the list (a through f), please indicate which one of the five possible financial planning approaches best describes your personal approach.

#### Financial Planning Approach

- 1 – I work with a professional (i.e., financial planner, CPA, etc.).
- 2 – I use the services available at [CLIENT NAME].
- 3 – I act based upon my own research and educational background.
- 4 – I act based upon the advice of family, friends, and associates.
- 5 – I don't really plan ahead.

**Circle the financial planning approach number best representing your personal approach to each item a – f.**

Type of Financial Planning	Financial Planning Approach					
a Insurance Planning and Risk Management	1	2	3	4	5	N/A
b Education Planning	1	2	3	4	5	N/A
c Investment Planning	1	2	3	4	5	N/A
d Income Tax Planning	1	2	3	4	5	N/A
e Retirement Planning	1	2	3	4	5	N/A
f Estate Planning	1	2	3	4	5	N/A

- Please indicate below which type of financial planning (a thru f above) you would like to learn more about in an educational seminar:

# Participant Survey (Continued)

## My ICMA-RC Experience

	Strongly Agree	Agree	Disagree	Strongly Disagree	N/A
11. I receive quality service from my locally-based representative	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. I am pleased with the quality of communications (including emails) I receive from ICMA-RC.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. ICMA-RC provides me with the necessary educational tools such as seminars and quarterly newsletters to help me with my retirement planning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. ICMA-RC's Web site has valuable information and services to guide me in investing for retirement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. ICMA-RC's Web site is well designed and easy to navigate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. ICMA-RC's quarterly statement provides me with the information I need to understand how my retirement account is performing.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. I am pleased with the number of fund choices offered in my 457 plan.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. I am pleased with the quality of service provided by Investor Services (support available through the toll-free line).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. The fees assessed on my account are appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. I know where to obtain fee information for my account.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. I am pleased with ICMA-RC's overall service quality.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. If you responded "Disagree" or "Strongly Disagree" to any items above, what is it about ICMA-RC's service that did not please you?					

23. Please check the **four** most important products and services that ICMA-RC provides:

- |   |  |
|---|--|
| <input type="checkbox"/> Internet Access                            | <input type="checkbox"/> Participant Education (seminars, newsletters, etc.) |
| <input type="checkbox"/> Investor Services (toll-free number)       | <input type="checkbox"/> Financial Planning Services                         |
| <input type="checkbox"/> On-Site Visits from ICMA-RC Representative | <input type="checkbox"/> Managed Accounts                                    |
| <input type="checkbox"/> Investment Choices (other than brokerage)  | <input type="checkbox"/> Quarterly Statements                                |
| <input type="checkbox"/> Brokerage Account                          | <input type="checkbox"/> Communication to Participants                       |

24. Overall, the number of fund choices offered in my 457 plan are:       Too many       Just Right       Not Enough       Don't Know

25. Please indicate the type(s) of additional funds you would like added, if any:

26. Please provide any additional comments or suggestions regarding your 457 plan:

*Thank you for completing the survey. A postage-paid business reply envelope is provided for your convenience. Please return your completed survey by xx date*