

RANDUG Annual Conference 2017

FIS Retirement Solutions

**Innovation in recordkeeping
that lets you focus on what matters.**

Sitting at the intersection of technology and retirement, FIS™ is committed to helping you improve efficiencies and reduce costs so you can invest in what matters most – improving participant outcomes.

November 12-14, 2017

FIS

FIS

Serving the unique needs of financial services organizations



SOLUTION BREADTH

+400
solutions

\$300M
invested annually in next-generation advancements

BPO, consulting and transformational services



MARKET REACH

848M
cards processed

10B
financial trade records processed per hour

\$9T
moved globally every year



INDUSTRY EXPERTISE

+40
years FinTech experience

+3,000
consultants

+55,000
employees worldwide

210
operational facilities (81 in the U.S.)

Dedicated market practices



CLIENT RELATIONSHIPS

+20,000
clients

9/10
top global banks

~75%
U.S. credit unions

18/25
top U.S. retailers

Federal government and 40 state governments

Leading the way means being prepared for what's next

We provide unmatched technology services covering the entire financial industry.



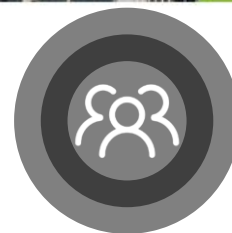
BANKING & PAYMENTS

BANKING
PAYMENTS
WEALTH MANAGEMENT
CORPORATE LIQUIDITY



INSTITUTIONAL & WHOLESALE

ASSET MANAGEMENT
CAPITAL MARKETS
INSURANCE
NON-FINANCIAL



CONSULTING

BANKING & PAYMENTS
WEALTH & ASSET MANAGEMENT
CAPITAL MARKETS
TECHNOLOGY

DIGITAL/CHANNEL

RISK, INFORMATION SECURITY, COMPLIANCE

OUTSOURCED SERVICES

Wealth & Retirement

Empowering clients by turning experience into insights

Across the wealth and retirement sector we bring greater efficiency, flexibility and scalability

1,000

Clients

75,000

Advisors

1.5M

Trust
Accounts

50M

Retirement
Plan
Investors

\$7T

Assets

FIS Retirement Solutions

Bringing industry leading solutions together from Omni, Relius and Reliance Trust, FIS is positioned to empower small and large retirement plan providers with a comprehensive, integrated suite of retirement solutions

FIS Retirement Solutions

FIS now brings **every component a 401(k) provider needs** to deliver services to plan sponsors including:

- Recordkeeping and plan administration technology
- Fiduciary and compliance solutions
- Collective investment trusts
- Custody and directed trustee services
- Financial planning, asset allocation and retirement readiness
- Back-office outsourcing solutions

FIS Retirement Solutions

FIS offers every component a 401(k) provider needs to deliver services including:



CLIENT EXPERIENCE

Deliver technology solutions for recordkeeping, plan admin, plan documents and government filings from Omni & Relius.



BUSINESS PROCESS OUTSOURCING

Focus on growing your business while FIS provides predictable, reliable and high-quality services.



CONNECT

Minimize redundant data entry by automating the flow of information between FIS and other applications.



CUSTODY & TRUST

Gain access to trust solutions from Reliance Trust, an FIS company, including directed trustee, custody, paying agent, CITs and 3(38) investment services.



AUTOMATION

Efficiently manage routing, tracking and engagement systems for all activity with workflow, robotics and straight-through-processing.



INTEGRATED COMMUNICATION

Provide customizable electronic and print communications, statements, enrollment kits and fund fact sheets.

- **Servicing retirement plans for 20+ years**
- **Services include:**
 - Directed Trustee & Custodial solutions
 - Paying Agent services
 - Collective Investment Trusts
 - 3(38) Investment Services
- **All plan type serviced:**
 - 401(k), 403(b), 457, defined benefit, NQDC plans, etc.
 - Over 60,000 Plans serviced
- **\$193+ billion in retirement plan assets**
- **Collective fund AUM over \$25 billion**

- **Reputation and client base/retention – viewed as “partner” versus “vendor”**
- **Trust company first with technological innovation and support**
- **Retirement plan services - core competency – growth focus**
- **One-stop shop**

A comprehensive web-based solution for managing plan investments

- **Sales proposal generation**
 - Fee comparisons
 - Pre-built fund line-ups
- **Fund search & scoring**
 - Includes Morningstar Databases
- **Portfolio Models**
 - Create & rebalance portfolio models
 - Create custom benchmarks
- **Compliance Reports**
 - 408(b)2 & 404(a)5 fee disclosure
- **Fee Benchmarking (new)**
 - **Benchmark a single Plan against entire Relius 408(b)2 fee database**

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Streamline the fiduciary process

Forge stronger relationships between advisors, sponsors and providers.

In recent years, the need to forge stronger relationships between advisors, sponsors and providers has become imperative to reach the ultimate goal of ensuring plan participants are maximizing returns on their retirement savings. The level of advisor involvement in the benefit administration industry continues to steadily increase, driving the need for advisors to quickly and easily access pertinent plan and fund data.

- Review and research**
Mutual fund data integrated with recordkeeping software and Crystal reports.
- Compliance reports**
Reporting to help satisfy 408(b)(2) and 404(a)(5) compliance.
- Prospect proposals**
A proposal module for preparing reports for new and takeover plans.
- Fee benchmarking**
Compare plan provider fees, investment quality and costs, with similar plans.

Selecting plan investments can be complicated, and obtaining all of the necessary data can be expensive and time consuming, as the advisor may need to access multiple sources to gather the information required to complete the analysis. PlanAdvisor is designed to assist investment advisors, consultants and third-party administrators serving the retirement plan industry by integrating these key functions into a single user interface.

PlanAdvisor can help you create operational efficiencies by turning a manual fiduciary process into an automated one leveraging data from fewer systems. The solution combines investment, plan and platform data from several sources and provides your organization with:

- Fiduciary investment review for 3(21) and 3(38) advisors that is integrated with your recordkeeping software.
- Plan sponsor investment and fee reports to assist with 408(b)(2) compliance.
- Mutual fund data integrated with recordkeeping software and reports to assist with 404(a)(5) compliance.
- A proposal module to assist with preparing reports for both new and existing retirement plan prospects.

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Plan communication solutions

A comprehensive suite of both participant and plan sponsor communication:

- Participant statements
- Plan Sponsor reports
- Enrollment kits
- Fee disclosures (404(a)-5)
- Fund fact sheets
- Web presentation of investment data

Participant statements

The collage displays various components of the FIS plan communication suite:

- Model Portfolios:** A page titled "Model Portfolios" showing a pie chart representing asset allocation and a table with columns for "Total", "Allocation", "100%", "10%", "20%", "30%", "40%", "50%", "60%", "70%", "80%", "90%", "100%", and "Investment".
- Participant Statement:** A "Your Retirement Account Statement" for "Awesome 401(k) Plan" dated 01/01/2018. It shows a Plan Balance of \$1,331,982.34, a 12-month rate of return of 4.56%, and a YTD return of 9.84%.
- Plan Information:** A page providing details such as Plan ID (4010001000), Investment Plan Code (1), DOLY Balance (\$1,445,000.00), and a list of participants in various categories.
- Graphic:** A promotional graphic with the text "YOUR HEADLINE HERE" and a photo of a family, with a sub-headline "401 (k) Plan Optional Sub-Headline".

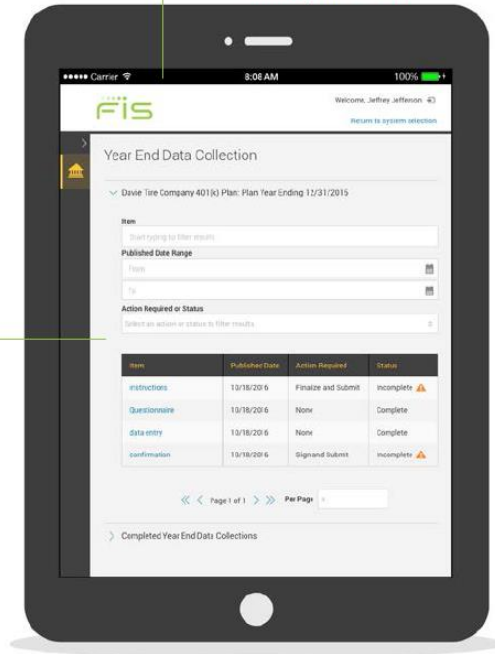
Plan Sponsor reports

Automated plan data collection solutions

- Create customizable year end data collection (YEDC) processes that consist of plan level questionnaires, instructions and notifications
- Prefill questionnaires and census with data from Relius Administration
- Establish contact access to YEDC
- Publish YEDC for plan sponsor review
- Validate YEDC payroll against year-to-date payroll for discrepancies
- Update and review information completed as part of YEDC directly in Relius Administration

Responsive design allows for easier use on tablet as well as desktop browsers

Retractable navigation adds additional viewing area





- **Adapt quickly to changing market demands**



- **Accelerating growth with scalable and flexibility deployed platforms**



- **Achieve lower total cost of ownership**

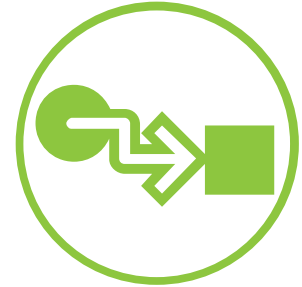
Prepare and adapt to regulatory change



Anticipate
and respond
to changing
conditions



Make informed
decisions
guided by our
regulatory and
legal experts



Put the right
processes
in place to
gain command
over meeting
requirements