The changing regulatory environment has driven broker-dealers to consider proprietary fiduciary programs for its retirement plan clients. Leveraging Mesirow’s Fiduciary Automation Service Technology (Mesirow Financial FAST®), broker-dealers can build flexible fiduciary programs that mitigate risks and minimize disruption to existing plan sponsor lineups.

**What Mesirow Financial FAST® Offers You**

**Recordkeeper Connectivity**
Aggregating plan data across numerous recordkeepers to monitor your clients can be an arduous task:

- We work directly with your recordkeepers to gather plan data

**Home Office Monitoring**
Ensuring plans meet your fiduciary service requirements, across multiple recordkeepers, can be complex:

- We check plan lineups against your requirements and inform you of any deficiencies

**Due Diligence**
Implementing the same due diligence process across multiple recordkeepers can prove difficult:

- We will show fund monitoring statuses in your client reports, whether you choose to use your due diligence process, or ours

**Plan Level Deliverables**
Building a system to generate and distribute plan level reports can be challenging:

- We create and distribute consistent, plan-specific deliverables to advisors and plan sponsors across all recordkeepers
Mesirow Financial FAST® Deliverables
We offer a variety of deliverables to you and your clients that can be customized to meet your needs.

**Fund Monitoring Reports**
- Showing all funds within a plan and their monitoring status
- Reflecting your due diligence or ours
- For advisors and plan sponsor clients

**Fund Memorandums**
- Plan-specific memos related to fiduciary coverage
- Reflecting your due diligence or ours
- For advisors and sponsor clients

**Home Office Oversight Reports**
- Compliance report showing which plans do not meet fiduciary requirements
- Monitoring report showing all funds that are being monitored for one or more issues and funds that are not covered for fiduciary service (not on approved list)

**Additional Offerings**
- Market Commentary
- Trade Instructions for Your 3(38) Service
- Sample Investment Policy Statements
- Legal Protection*

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*Mesirow Financial FAST® helps Broker-Dealers*
- Maintain recordkeeper relationships without dramatic shifts in current investments
- Think beyond limited, pre-built lineup solutions not easily implemented across multiple platforms
- Establish investment guardrails for advisors without removing choice
- Monitor the entire fiduciary program with consistent reporting to multiple parties

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*The specific legal protection offered by Mesirow Financial is governed by the agreement between Mesirow Financial and the broker-dealer. Nothing herein is intended to modify such agreement.
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To learn more about how Mesirow can help you, please contact Vincent Vicidomini at 312.595.7295 or vvicidomini@mesirowfinancial.com.