



**QUALIFIED PLAN APPOINTMENT SETTING PROGRAM**

<b>Company:</b>	Three Rivers Technical	<b>Website:</b>	<a href="http://www.trtinfo.com">www.trtinfo.com</a>
<b>Prospect Name:</b>	James Smith	<b>Email:</b>	<a href="mailto:james.smith@trtinfo.com">james.smith@trtinfo.com</a>
<b>Title:</b>	CFO	<b>Telephone:</b>	412-555-1212
<b>Address</b>	123 Any Street	<b>Alt-Phone #:</b>	412-555-1313 (cell)
<b>Address2:</b>	Suite 555	<b>Appt. Number:</b>	123-1234
<b>City</b>	Pittsburgh	<b>Client Name:</b>	Dave Jones
<b>State</b>	PA	<b>Produced By:</b>	Mary Smith
<b>Zip</b>	15206	<b>Produced Date:</b>	March 13th
<b>County</b>	Allegheny	<b>Appt. Date:</b>	March 27th
<b>Meeting Location</b>	Same as Above	<b>Appt. Time:</b>	9:30 AM

**Information Provided By List Source**

<b>Type of Business:</b>	Wiring and Cabling	<b>Plan Asset Size:</b>	\$2,800,000
<b>Year Established:</b>	1992	<b>Number of Employees:</b>	87

**Information Gathered by The PT Services Group**

Besides you, who are the other decision makers on the plan?	Steve Harris (President & CEO)
Would there be anyone else attending the meeting?	Steve Harris
Employees eligible to participate:	65
Employees participating:	42
What type of plans do you have?	401(k)
Have you made any changes in the plan(s) over the past year?	No
If yes, what changes?	N/A
Wants to focus on improving:	Participation and Compliance
Their plan is with:	Principal
They also use them as an advisor:	No
Their Advisor is:	Ascensus
They have been with them for:	6 years

**Additional Comments:**

You will be meeting with James Smith and Steve Harris to discuss the services you provide for retirement plans. James said they are concerned about regulation and fiduciary responsibilities, but mainly would like to see more people participating in the plan. They have not seen the advisor in a while and don't know if they are "up to speed" on the newest ideas with regard to their 401(k) plan.