



Guiding financial professionals through the retirement plan establishment process

When it comes to plan establishment, Securian Financial keeps you in-the-know with a streamlined process, frequent communications and easy access to information.

The following questions and answers provide helpful insights for topics most commonly raised by financial professionals during the plan establishment process.

Plan establishment

1 What information does Securian Financial require to initiate the establishment process?

Typical required information includes:

- Final plan investment array, including the plan's Qualified Default Investment Alternative (QDIA) and default investment option for forfeitures
- Plan Installation Authorization form
- Compensation payment instructions for the plan
- Other forms, if applicable:
 - Third-party administrator authorization
 - ERISA 3(21)/3(38) investment fiduciary information

Your Securian Financial sales specialist emails the required forms once a sale is confirmed.



2 How will I be notified that all items necessary to establish the plan are in good order?

Once your paperwork is confirmed to be in good order, you will receive an email from your Securian conversion manager, typically within three business days after submission.

The email will confirm the paperwork status, introduce your conversion manager and provide next steps for plan establishment. A conference call is also scheduled by the conversion manager to discuss the establishment process with you and your client.

If paperwork is not in good order, your Securian sales specialist will contact you to review the issues and identify actions to attain good order. This normally occurs within two business days after submission.

3 What is the timeline for plan establishment?

Typically, a start-up plan establishment takes two months, while an existing plan normally takes three months to complete. Learn more about the establishment experience [here](#).

4 Once Securian is selected and initial paperwork is submitted, what are the next steps?

- Plans utilizing a full-service model need to provide the following items:
 - Base plan document
 - Signed adoption agreement
 - Signed plan amendments
 - Completed plan questionnaire provided by the Securian conversion manager
- Plans utilizing the services of a third-party administrator (TPA):
 - Your Securian conversion manager will work with the plan's TPA to gather the required information.

Compensation



5 Financial professionals affiliated with an RIA and receiving fee-based compensation:

- A Registered Investment Advisor Fee Authorization and Investment Direction form, which dictates payment of compensation, is completed by the financial professional, signed by the plan sponsor and submitted to Securian. Your Securian sales specialist provides this form once a sale is confirmed.

6 Financial professionals registered with FINRA and receiving commissions:

- You must be appointed with Securian
- Financial professionals not appointed with Securian must complete a Broker Data Sheet. Your Securian sales specialist provides this document once a sale is confirmed.
- You must follow the life insurance licensing requirements for the state where the group variable annuity for the plan is issued.
- Securian requires confirmation that you are life insurance licensed with the state where the group variable annuity for the plan is issued before compensation is paid. (The plan establishment process will continue while this is verified.)
- Contact your broker-dealer for information regarding how to become life insurance licensed in a particular state.

7 Financial professionals located in states where group variable annuity sales are permitted without FINRA registration and receiving commissions:

- You must be appointed with Securian
- Financial professionals not appointed with Securian must complete a Broker Data Sheet. Your Securian sales specialist provides this document once a sale is confirmed.
- You must follow the life insurance licensing requirements for the state where the group variable annuity for the plan is issued.
- Securian requires confirmation that you are life insurance licensed with the state where the group variable annuity for the plan is issued before compensation is paid. (The plan establishment process will continue while this is verified.)

Advisor website access



8 How do I access the advisor website*?

- Financial professionals must register at advisor.securian.com to access the website.
- A broker code, which is a unique identifier assigned to you as part of the plan establishment process, is requested during the registration process.
- Detailed registration instructions are available [here](#).

*Financial professionals affiliated with Securian Financial Services access the website via securianadvisor.com.

9 How do I reset my User ID and Password for the website?

Go to advisor.securian.com and click on *Register and login help* under the *Log in* button. You'll then have the option to click *Forgot your password*. You can also call **1-800-627-0304** ext. 55234 for assistance.

10 When will my book of business on advisor.securian.com reflect new plans?

- Book of business, which is updated monthly, displays new plan data after the establishment process is completed.
- Book of business data for financial professional changes or additions populate within 10 business days after final paperwork is received.

11 How do I access the sponsor website for a plan through the advisor site?

Click *Go to Plan Sponsor Site* for a specific plan within your book of business on advisor.securian.com website to access the sponsor site for that plan.

12 How can I get a tour of advisor.securian.com?

Your Securian sales specialist or relationship manager is available to walk you through the site.



Plan sponsor and participant websites access



13 How can I preview the plan sponsor and participant websites?

Demos of the plan sponsor and participant websites are available [here](#).

14 How do members of my team access the plan sponsor website?

Your team members providing ongoing service for a plan can request access to the plan sponsor website. A Plan Contact and Website Access for Advisor Affiliates form must be completed and signed by the plan sponsor to grant access. The form is typically provided by your Securian sales specialist during plan establishment. It can also be requested from your Securian relationship manager.

15 How do I locate the Securian servicing contacts for my plan?

Click on *Contact Us* in the upper right corner of the plan sponsor website to view a listing of the Securian contacts assigned to the plan.

16 Where should I direct participants for questions regarding their account?

- securian.com/retirement
- Securian Financial Customer Service Advocates at **800-233-2881**, Monday through Friday 7:00 a.m. to 7:00 p.m. CST



Learn more

Contact the retirement sales team at **1-877-876-4015** to learn more.

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