



2026 PLANADVISER Top Retirement Plan Adviser Application Form

Q2 Thank you for your interest in being a **PLANADVISER Top Retirement Plan Adviser!** This year's list is limited to individual advisers. **Any adviser who is a member of a team should supply their entry statistics as a fraction of their team's figures.** For example, an adviser on a five-adviser team that collectively advises on \$1 billion might claim \$200 million in AUA.

We will still be reviewing quantitative metrics, including AUA, percentage of revenue from retirement plan assets/types, and number of plans under advisement.

The 2026 form is open for entry through February 20.

Below are a few tips to help you efficiently complete the survey.

Your entry will be saved after you complete each page and you should be able to stop/resume your entry **from the same computer/device**. Trying to access your response from a different computer/device will not work.

Individual advisers should complete this questionnaire on their own behalf based on their personal experience in working with their own clients.

There are no teams eligible for the 2026 PLANADVISER Top Retirement Plan Advisers, and therefore each individual should represent his or her own business in these answers. 2026 Top Retirement Plan Advisers will be honored at the PLANADVISER Industry Leader Awards on May 14, 2026, in New York City. They will also be featured online at PLANADVISER.com.

The form may be downloaded and viewed from here prior to filling it out online.

If you have any questions or trouble while responding, please contact awards@issmediasolutions.com.

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Q3 To begin, please enter your contact information below. Use of this information will be restricted to issues related to the 2026 PLANADVISER Top Retirement Plan Advisers and will not be shared with anyone outside of PLANADVISER.

☐ Your name: (1) _____

☐ Firm name: (2) _____

☐ Team name (if applicable): (3)

☐ Your city: (4) _____

☐ Your state: (5) _____

☐ E-mail address: (6) _____

☐ Phone Number: (9) _____

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Q4 What is your age?

☐ 20 - 29 (1)

☐ 30 - 39 (3)

☐ 40 - 49 (5)

☐ 50 - 59 (7)

☐ 60 - 69 (9)

☐ 70 or older (14)

Page Break

Q5 What is your gender?

- ☐ Male (1)
- ☐ Female (2)
- ☐ Non-binary (3)
- ☐ Prefer not to answer (4)

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Q6 Choose the racial identities that you use to describe yourself (check all that apply):

- ☐ Caucasian or White (1)
- ☐ Black or African American (2)
- ☐ American Indian or Alaska Native (3)
- ☐ Asian (4)
- ☐ Native Hawaiian or Pacific Islander (5)
- ☐ Hispanic or Latino (8)
- ☐ Other (please specify): (6)

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- ☐ ☒ Prefer not to answer (9)

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Q7 For how long have you been a retirement plan adviser?

- ☐ Less than 5 years (1)
- ☐ 5-10 years (2)
- ☐ 11-15 years (3)
- ☐ 16-20 years (4)
- ☐ 21-25 years (5)
- ☐ 26-30 years (6)
- ☐ 31-35 years (7)
- ☐ 36-40 years (8)
- ☐ More than 40 years (9)

End of Block: Introduction and Demographics

Start of Block: Adviser Business Profile

Q8 For compliance purposes, please provide your CRD number and the contact details for a home office/compliance professional who can confirm you are in good standing:

- ☐ CRD # (1) _____
- ☐ Name (2) _____
- ☐ Title (3) _____
- ☐ Email (4) _____
- ☐ Phone Number (5) _____

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Q9 We would now like to ask you a few questions related to your practice and experience in servicing employer-sponsored retirement plans. **The following questions are specific to the clients YOU actively service -- NOT the count of total clients serviced by your team/office.**

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Q10 Please provide the assets that you personally advised/managed as of 12/31/2025? Please note: There are no teams eligible for the 2026 PLANADVISER Top Retirement Plan Advisers, and therefore each individual should represent his or her own business in these answers. For example, if your team manages 1,000,000 in assets and there are five members on your team, your share would be 200,000.

☐ Total AUA (\$) (1) _____

☐ Total employer-sponsor retirement plan assets (\$) (2) _____

☐ Total individual/private wealth assets (\$) (3) _____

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Q11 In addition to the value just provided, please choose the asset range which matches the total employer-sponsor retirement plan assets that you personally advise/manage.

Less than \$5 million
Less than \$5 million
\$5 million - \$25 million
>\$25 million - \$50 million
>\$50 million - \$100 million
>\$100 million - \$200 million
>\$200 million - \$400 million
>\$400 million - \$600 million
>\$600 million - \$800 million
>\$800 million - \$1 billion
>\$1 billion - \$2.5 billion
>\$2.5 billion - \$5 billion
>\$5 billion - \$10 billion
>\$10 billion

Q12 Next, please enter the breakdown of employer-sponsored retirement plan assets that you personally advised as of 12/31/2025.

NOTE: Remember to enter the actual asset count and select the corresponding percentage of business range. Both are needed.

The total number of assets should total \$ $\{Q10/ChoiceTextEntryValue/2\}$ in AUA.

Helpful Tips:

- All values must be numeric; - You need to enter 0 rather than leave a field blank; - You cannot use \$; - There cannot be any spaces (meaning if the number is 100000_ (imagine if the underscore did not appear and was just a blank space); and - You may use commas and decimal points.

	\$ Assets of Plan Type	% of business from plan type
\$ of 401(k) plans you personally advise/manage:		
\$ of 403(b) plans you personally advise/manage:		None (i.e., 0)
\$ of 457 plans you personally advise/manage:		1%-5%
\$ of nonqualified plans you personally advise/manage:		6%-10%
\$ of defined benefit plans you personally advise/manage:		11%-20%
\$ of cash balance plans you personally advise/manage:		21%-30%
\$ of SEP plans you personally advise/manage:		31%-40%
\$ of SIMPLE plans you personally advise/manage:		41%-50%
\$ of MEP/PEP plans you personally advise/manage:		51%-60%
		61%-70%
		71%-80%
		81%-90%
		91%-100%



Q13 What was the total number of employer-sponsored retirement plans that you personally advised/managed as of 12/31/2025? Please note: There are no teams eligible for the 2026 PLANADVISER Top Retirement Plan Advisers, and therefore each individual should represent his or her own business in these answers. For example, if your team manages 100 plans and there are five members on your team, your share would be 20.

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Q14 Next, please enter the number of retirement plans that you personally advised as of 12/31/2025.

The total number of plans should total $\{Q13/ChoiceTextEntryValue\}$ plans.

Helpful Tips:

- All values must be numeric;
- You need to enter 0 rather than leave a field blank;
- You cannot use \$;
- There cannot be any spaces (meaning if the number is 100000_ (imagine if the underscore did not appear and was just a blank space); and
- You may use commas and decimal points.

	# of Plans (count)
# of 401(k) plans you personally advise/manage:	
# of 403(b) plans you personally advise/manage:	
# of 457 plans you personally advise/manage:	
# of nonqualified plans you personally advise/manage:	
# of defined benefit plans you personally advise/manage:	
# of cash balance plans you personally advise/manage:	
# of SEP plans you personally advise/manage:	
# of SIMPLE plans you personally advise/manage:	
# of MEP/PEP plans you personally advise/manage	

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Q15 Do you offer wealth management services?

- ☐ Yes - but only to participants in client plans (4)
- ☐ Yes - but only to investors outside of client plans (2)
- ☐ Yes - to investors both inside and outside of client plans (1)
- ☐ No - we do not currently provide wealth management services but are considering adding it in the future (5)
- ☐ No - we do not currently provide wealth management services and do NOT plan to add it in the future (3)

Page Break

Display this question:

If Do you offer wealth management services? = Yes - but only to participants in client plans
Or Do you offer wealth management services? = Yes - but only to investors outside of client plans
Or Do you offer wealth management services? = Yes - to investors both inside and outside of client plans

Q16 How many total personal wealth / high-net-worth / retail CLIENTS did you personally advise/manage as of 12/31/2025?

End of Block: Adviser Business Profile
