



UBS PRIME Asset Consulting

Portfolio Review and Investment Management Evaluation

Who we are:

- ✓ UBS Portfolio Review and Investment Management Evaluation (PRIME) is a specialized advisory consulting service program of UBS Financial Services Inc.
- ✓ PRIME is one of the largest investment consulting providers in the country, consulting to over 600 institutional clients with approximately \$60 billion in assets under advisement.
- ✓ Our clients include private and public companies, hospitals, unions, doctor groups, law firms, foundations and endowments.

What we do:

- ✓ Sign a consulting contract that explicitly defines UBS as a fiduciary under ERISA §3(21).
- ✓ Provide independent, objective, third-party consulting services to all types of retirement plans, including: 401(k), 403(b), 457, Defined Benefit.
- ✓ Write Investment Policy Statements.
- ✓ Monitor and evaluate mutual funds, investment managers, collective trusts, and exchange traded funds.
- ✓ Conduct RFP projects for clients.
- ✓ Educate participants.
- ✓ Create and handle performance reporting.
- ✓ Analyze and reduce plan expenses at the plan and participant levels.
- ✓ Structure and maintain asset allocation models.

What is in it for your client?

- ✓ Limit plan sponsor's liability under ERISA, which requires that plan sponsors hire investment experts if they do not consider themselves to be experts. This helps the company utilize all available safe harbor provisions under ERISA 404(c).
- ✓ Provide additional fiduciary protection backed by substantial E&O coverage and the strong credit rating of UBS (AA+).
- ✓ Help the plan sponsor understand all the costs and expenses of the plan as required by ERISA and save money for the plan and plan participants.
- ✓ Take the burden of selecting a new vendor away from the company's treasury and HR departments. Provide comprehensive RFP services with objective results to the client.
- ✓ Maximize the impact of a company-sponsored retirement plan by improving the investment line-up and providing one-on-one guidance and education to participants.

Who to Contact?

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