

# PEP Talk Masterclass

August 18, 2022

## Newport Speakers:

Todd Davis, Regional Vice President

Dale Essenmacher, Regional Vice President

Lisa Lacayo, Vice President, Key Accounts and Conversions

Ken Weida, Senior Vice President, Qualified Sales



# Today's Speakers



**Lisa Lacayo**

Vice President,  
Key Accounts  
and Conversions



**Ken Weida**

Senior Vice  
President,  
Qualified Sales



**Todd Davis**

Regional  
Vice President



**Dale Essenmacher**

Regional  
Vice President

# What You'll Learn Today

## History of PEPs

How We Got Here

## State Mandates

How different state mandates affect your clients

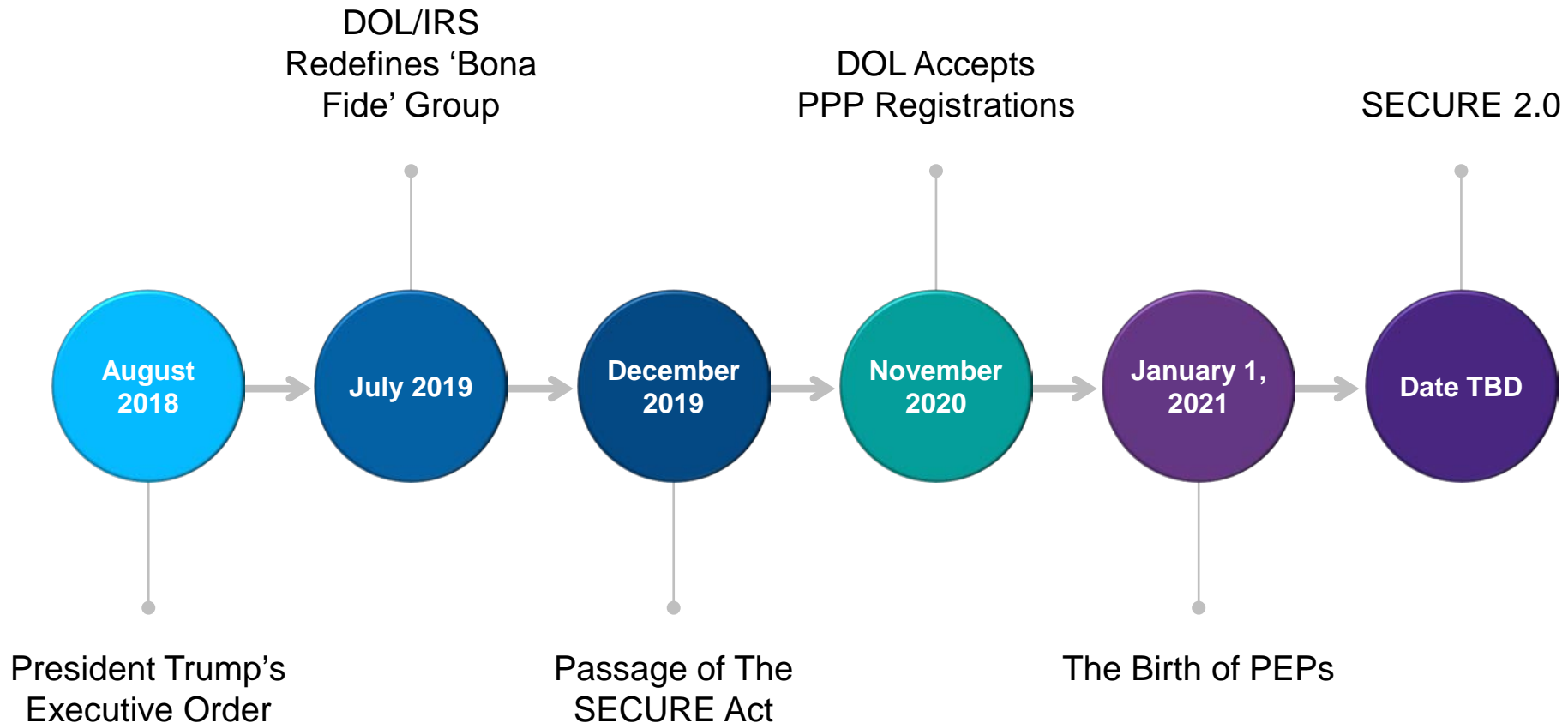
## PEP Rally

Let's meet Nat, Reggie, Patty and Peppa

Question and answer session with today's speakers



# The Pathway to PEPs



# Total Program Management

Newport's business is built on partnerships, and we bring our best to provide you an end-to-end solution to fit your unique needs.

**3(38) INVESTMENT  
FIDUCIARY**

**EMPLOYER  
SUPPORT SERVICES**

**PARTICIPANT  
SUPPORT SERVICES**

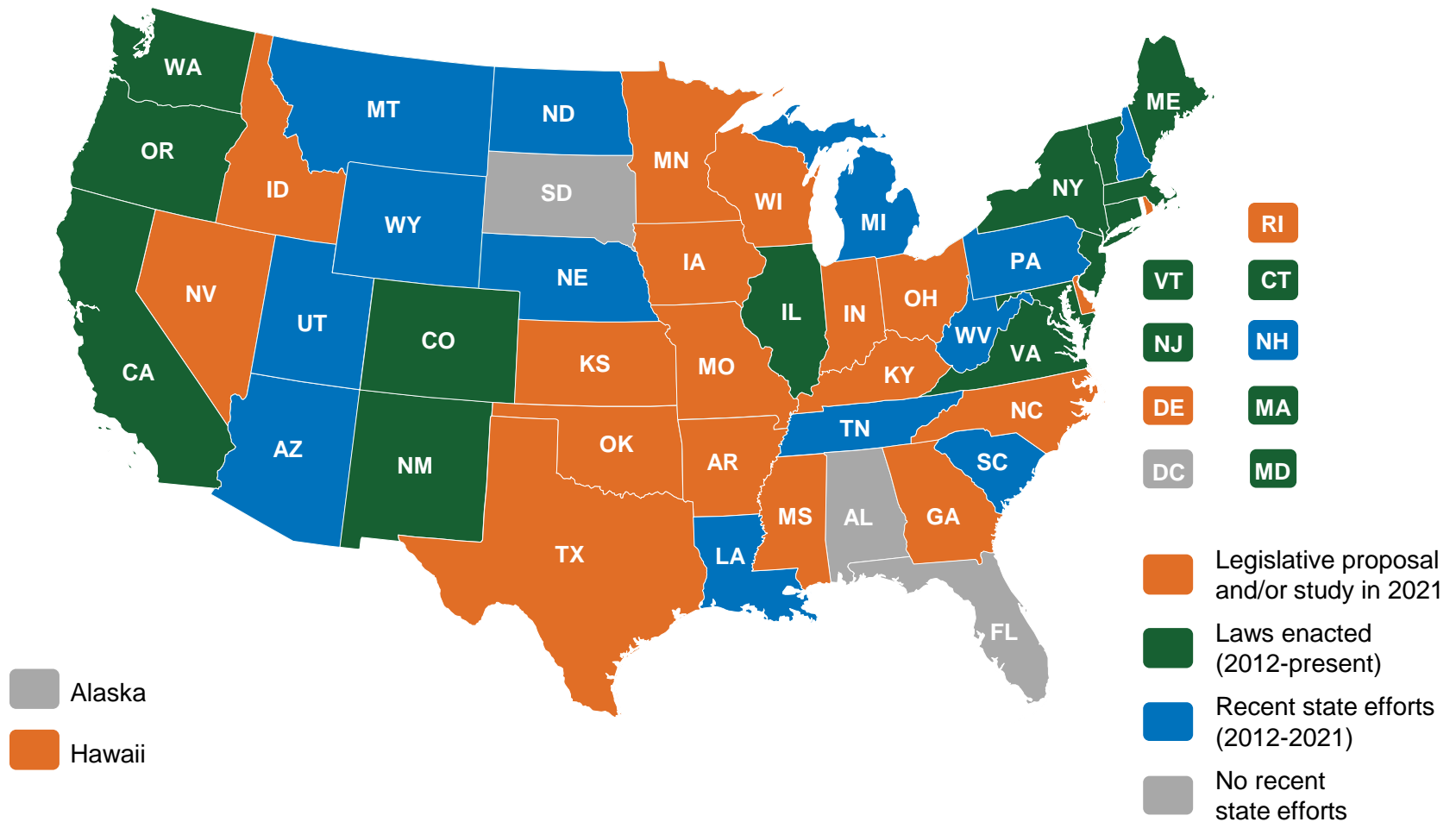
**3(16) AND 402(A)  
NAMED FIDUCIARY**

**TRUSTEE AND  
CUSTODIAL SERVICES**

**RECORDKEEPING AND  
ADMINISTRATION  
SERVICES**

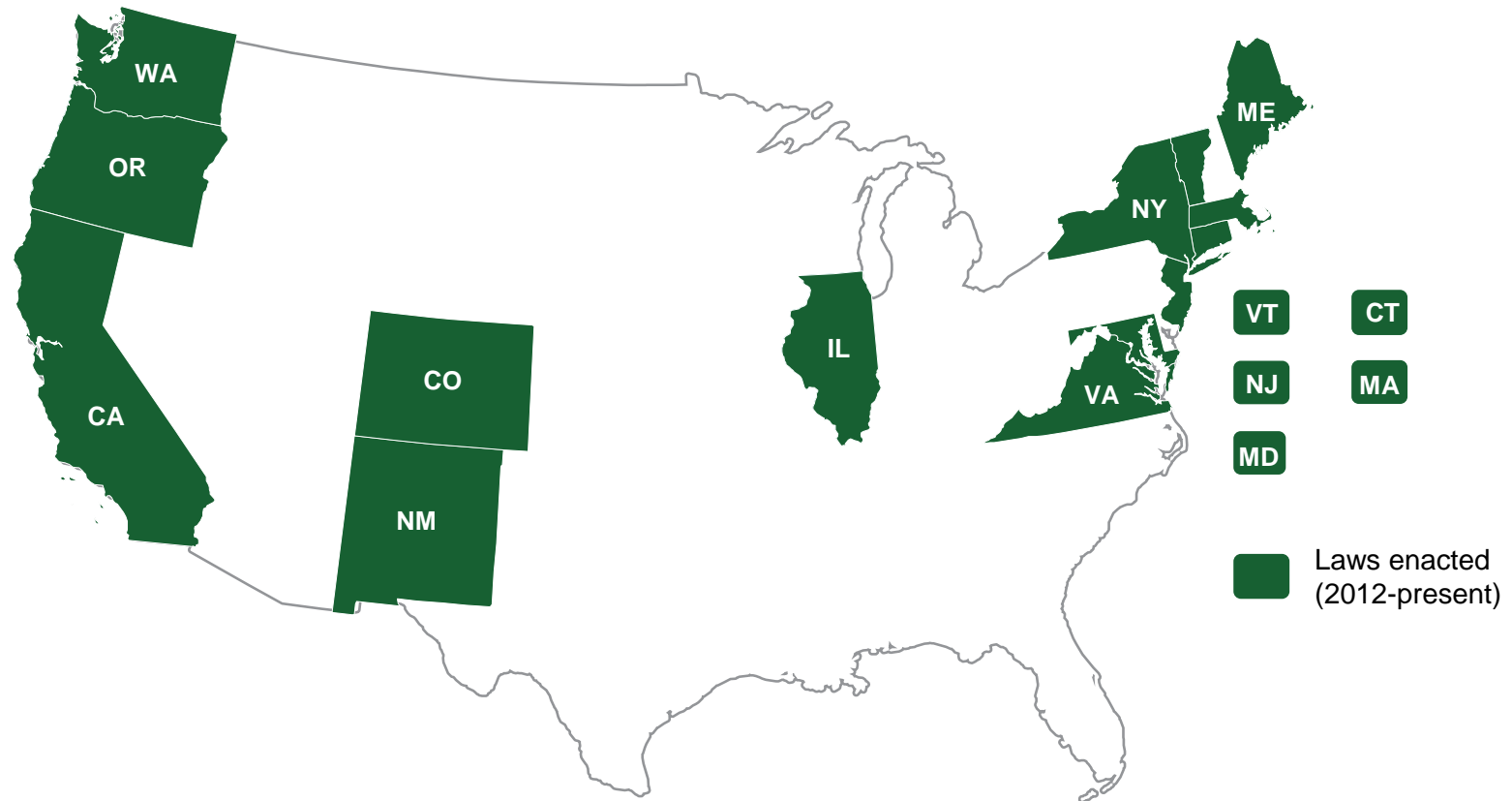
**Our fully integrated end-to-end services simplify your operating model.**

# State Mandates



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# State Mandates – Stay out of the Penalty Box!



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# Is a PEP a Good Fit For Your Practice?

PEP Rally: How did we get here?

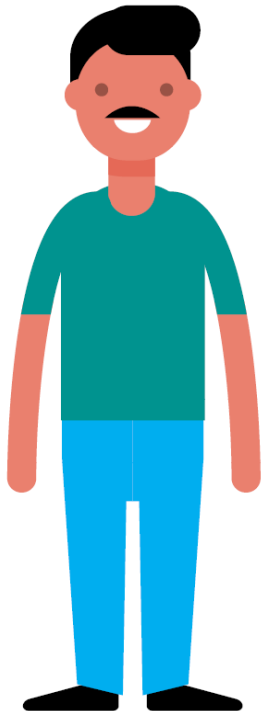
- Leveraged common characteristics from real-life case studies
- Created “personas” representative of different types of advisory firms
- Provided an easy way to see how different PEP solutions may fit your business model

Type of Advisory Firm	“Persona”
Large national consulting firm	“Nat”
Regional consulting firm with book of business at another provider	“Reggie”
Regional consulting firm with PEO or association partnerships	“Patty”
Advisory firm without a large book of business to fund its own proprietary PEP	“Peppa”

# Is a PEP a Good Fit For Your Practice?

Let's Meet Nat, Reggie, Patty and Peppa

Meet  
Nat



**“Nat”**

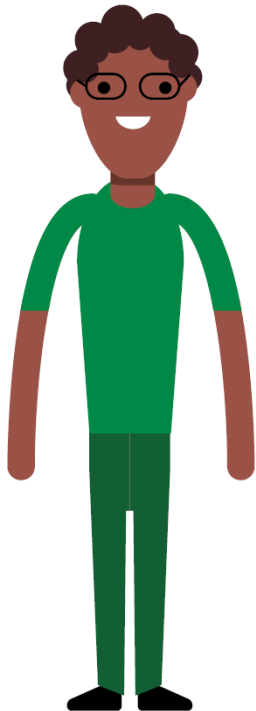
**Representative of a large national consulting firm**

- Firm is national in scale
- Defined 3(38) team in place
- Internal suite of resources to support clients such as insurance/risk, HR, consulting and more
- Typically has strong relationships with Private Equity firms

# Is a PEP a Good Fit For Your Practice?

Let's Meet Nat, Reggie, Patty and Peppa

## Introducing Reggie



### “Reggie”

Representative of a regional consulting firm with a book of business at another provider

- Looking to move due to sub-optimal relationship or performance
- Book of plans can be used to “seed” the PEP as a natural pipeline
- Referral network may be in place via tax/audit/accounting services

# Is a PEP a Good Fit For Your Practice?

Let's Meet Nat, Reggie, Patty and Peppa

**Say Hello  
to Patty**



**“Patty”**

**Representative of a regional consulting firm with  
PEO or association partnerships**

- Seeking a branded product
- Has partnerships with associations who are looking to expand their membership services for member employers
- May be working with PEOs and can offer retirement services with a PEP

# Is a PEP a Good Fit For Your Practice?

Let's Meet Nat, Reggie, Patty and Peppa

## Welcome Aboard Peppa



### “Peppa”

Representative of an advisory firm without a large book of business to fund its own proprietary PEP

- Looking for a turnkey solution but do not offer a PEP of their own
- Outsourced 3(38), with advisor compensation via education and consulting
- Simplified plan design with one 5500 and one audit

# Questions and Answers

## And Your Newport Contacts for Qualified Retirement Plan Solutions

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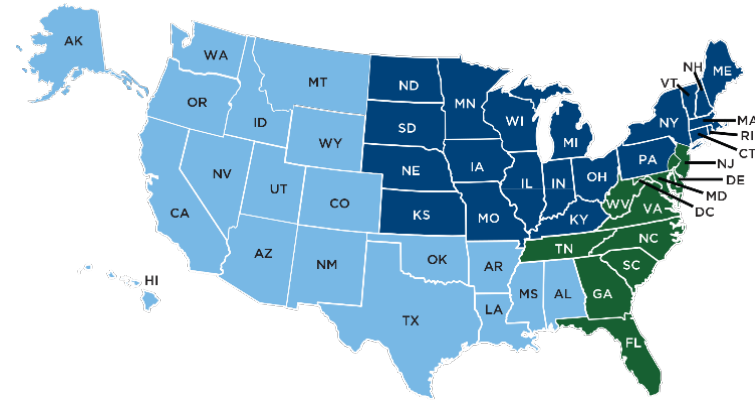
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ISC: Internal Sales Consultant

ISD: Internal Sales Director

SD: Sales Director



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