



Piecing together a retirement plan
that works best for you, your company,
and all of your employees.

www.batesco.com

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(407) 645-401K

Clearwater/Tampa

P: (813) 336-8105 | F: (727) 330-2660

Winter Park (Main)

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Orlando, FL 32789

P: (407) 645-4015 | F: (407) 647-8377

Jacksonville

P: (904) 7272-7539 | F: (904) 725-1054



Retirement Plans

Personalized Service from Experienced Consultants

We provide consultations, communication and design to develop the Retirement Plan best suited to meet the needs of your business. Our account executives are the best in the field and keep abreast of the latest developments in pension law changes as well as recent trends in plan design options.

Plan Design

We provide face-to-face consultations to design a Retirement Plan best suited to meet the needs of your business. This includes a cost vs. benefit analysis of the many different plan designs available to you.

Administration

- Determination of eligibility
- Allocation of employer/employee contributions, income and forfeitures
- ADP/ACP, Minimum coverage, participation and Top Heavy testing
- Preparation of IRS forms 5500 and related schedules
- Preparation of annual reports, including financial summaries and participant certificates
- 3(16) Plan Administration

Technical Support

Our qualified staff is dedicated to providing you with the highest level of knowledge and technical support.

Implementation

Based on decisions made during plan design, we will complete your plan document and all on-going amendments and notices for participants. We will also assist in the set-up of a new plan with your investment platform, or the transition of an existing plan to the new investment platform of your choice.



Retirement Plans

- 401(k) Plans
- Profit Sharing Plans
- Age Weighted Plans
- Cross-Tested Plans
- Cash Balance Plans
- Defined Benefit Plans
- Not-for-profit and Government Plans:
403(b) Plans, 457 Plans

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Creating a retirement plan with all the right pieces



At Bates & Company, we get to know your business and its needs. We are dedicated to creating plans that make sense for you; therefore we do not use “bundled” plans, but develop retirement plans that are uniquely yours.

The difference between “bundled” and “unbundled” plans

Advantages of “unbundled” Plans

- 401(k) plans designed to meet objectives of both business owners and employees
- A team of professionals, collaborating on your behalf, looking out for your best interest
- Local, dedicated experts have intimate knowledge of your plan
- Proactive service
- Personalized approach
- Expert advice on your overall retirement package



Limitations of “Bundled” Plans

- Core business is the collection and managing of assets; plan administration not necessarily a strength
- Out-of-state call center
- Little or no specific knowledge of your plan
- Reactive approach to service
- Generally only willing to provide you with a “generic” plan; this could result in a cookie-cutter document
- Usually only focuses on 401(k) plans exclusively; no other options



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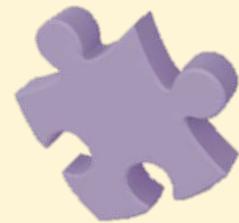
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Experience + Capability + Personalized Service = Successful Partnerships

With over 250 years of combined experience in the Retirement Plan Administration field, the Florida-based Bates & Company team is dedicated to providing all of our customers with the highest quality technical support, professional consulting and compliance coverage. We pride ourselves in our years of experience in employee benefits and our ability to handle complex issues quickly, competently and completely.

Our mission is to design and administer the retirement program best suited to meet the needs of your business. Our goal is to continue our hands-on, personal attention to each and every one of our clients, while providing the highest quality technical supports and professional consulting. We are not just an 800 number – we are names and faces that visit clients often and offer support with any questions or concerns, and we are eager and willing to roll up our sleeves to help get the job done.



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