

**d. Common Mistakes in 401(k) Plans & IRS Correction Programs**

Very Helpful	5	4	3	2	1	Not at all Helpful	Does Not Apply
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Too Long	Just Enough	Too Short	Don't Know	Does Not Apply			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Comments/Suggestions \_\_\_\_\_

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**e. DOL Voluntary Correction Program**

Very Helpful	5	4	3	2	1	Not at all Helpful	Does Not Apply
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Too Long	Just Enough	Too Short	Don't Know	Does Not Apply			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Comments/Suggestions \_\_\_\_\_

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7. What additional information would you want to receive?

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**COMMENTS**

8. What ONE thing could the Department of Labor do to improve the seminar for someone like you?

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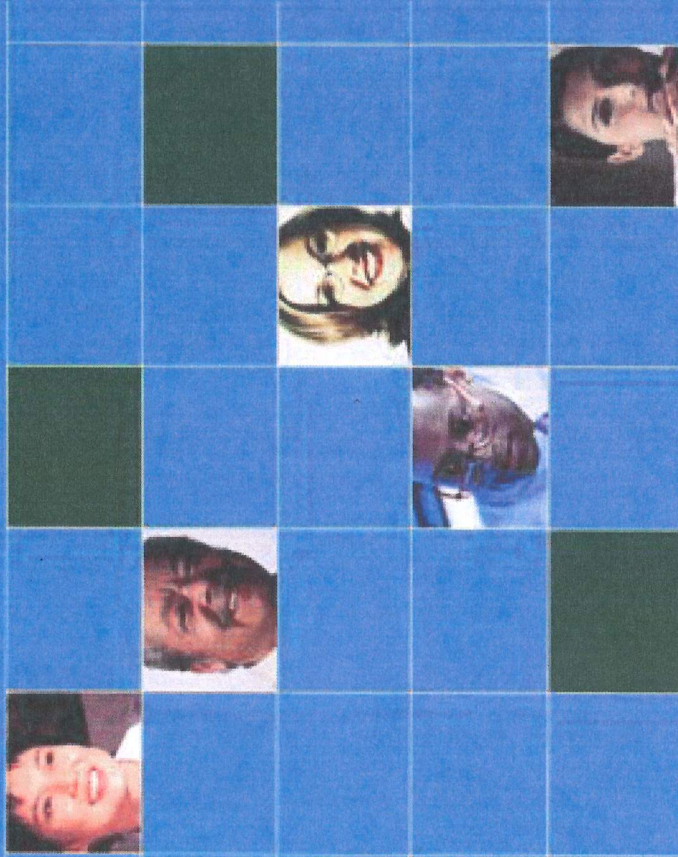
\_\_\_\_\_

**PLEASE RETURN THE COMPLETED FORM TO THE SESSION ORGANIZERS.**

**Paperwork Reduction Act Notice**

This survey has been approved under Office of Management and Budget (OMB) control number 1225-0088 (exp. 6/30/14). The Paperwork Reduction Act of 1995 provides that no person is required to respond to a Federal collection of information unless it displays a valid OMB control number. Your response is voluntary, and we will use this information to evaluate and improve the quality of our services. The Department estimates that it will take approximately 2.5 minutes (on average) for respondents to complete the survey. Please send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of the Chief Information Officer, Attention: Information Management Program, 200 Constitution Avenue, N.W., Room N-1301, Washington, DC 20210 or email dol\_pra\_public@dol.gov and reference the OMB Control Number 1225-0088.

**GETTING IT RIGHT  
KNOW YOUR  
FIDUCIARY  
RESPONSIBILITIES**



**SURVEY**



## WHAT IS YOUR ROLE?

1. Please indicate your role below:

- Employer/Plan Sponsor/Human Resources Manager/In House Benefits Manager
- Service Provider (Examples: Third Party Administrator, Insurance Broker, Agent)
- State or Federal Representative
- Other (please specify)

## PLEASE RATE THE SEMINAR OVERALL:

- 2. Please rate your overall satisfaction with the seminar:
 

Very Helpful	Not at all Helpful	Don't Know
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- 3. Please rate the overall usefulness of the information you received at the seminar:
 

Very Helpful	Not at all Helpful	Don't Know
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- 4. Please rate the overall performance of the presenters:
 

Very Helpful	Not at all Helpful	Don't Know
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Please rate how much you agree or disagree with the following statements as they pertain to the Getting it Right - Know Your Fiduciary Responsibilities seminar. (Mark ONE response for EACH statement)

- a. The information I received was clear and easy to understand
 

Strongly Agree	Not at all Satisfied	Don't Know
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- b. The information I received increased my understanding of the retirement benefits regulations and issues
 

Strongly Agree	Not at all Satisfied	Don't Know
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- c. The presenters were well informed and knowledgeable
 

Strongly Agree	Not at all Satisfied	Don't Know
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- d. The presenters gave the right level of detail
 

Strongly Agree	Not at all Satisfied	Don't Know
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- e. The presentations answered all of my questions
 

Strongly Agree	Not at all Satisfied	Don't Know
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Please rate the helpfulness of each of the seminar sessions/discussions and whether you felt the session was too long, too short, or just long enough. You may wish to write comments or suggestions in the space provided.

Mark ONE response for each helpfulness and length of the session Mark "Does Not Apply" if you did not attend the session or the session was not offered.

### a. DOL Fiduciary Responsibility: General Overview

Very Helpful	Not at all Helpful	Don't Know	Too Long	Just Enough	Too Short	Don't Know	Does Not Apply
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments/Suggestions \_\_\_\_\_

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### b. DOL Fiduciary Responsibility: Prohibited Transactions & Exemptions

Very Helpful	Not at all Helpful	Don't Know	Too Long	Just Enough	Too Short	Don't Know	Does Not Apply
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments/Suggestions \_\_\_\_\_

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### c. DOL Reporting and Disclosure

Very Helpful	Not at all Helpful	Don't Know	Too Long	Just Enough	Too Short	Don't Know	Does Not Apply
5 <input type="checkbox"/>	1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4 <input type="checkbox"/>	2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments/Suggestions \_\_\_\_\_

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