

Item 1: Cover Page

March 2, 2023

***Brochure for RPS Retirement Plan Advisors***

***Contact Information:***

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[www.rpsplanadvisors.com](http://www.rpsplanadvisors.com)  
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*This brochure provides information about the qualifications and business practices of RPS Retirement Plan Advisors. If you have any questions about the contents of this brochure, please contact us at 800-493-4386, or [invest@RPSPlanAdvisors.com](mailto:invest@RPSPlanAdvisors.com). The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.*

*Additional information about our firm is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

*Registration as a Registered Investment Advisor does not imply a certain level of skill or training.*

## Item 2: Material Changes

This Brochure was updated on March 2, 2023. No material changes have occurred since the last annual brochure dated April 18, 2022.

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#### Item 4: Advisory Business

RPS Retirement Plan Advisors (RPS) was established on January 2, 2022 and is a wholly owned subsidiary of Richard P. Slaughter Holdings. Since 2010, RPS has operated as a dba under Richard P. Slaughter Associates, Inc., a fee-only, SEC Registered Investment Advisor and wholly owned subsidiary of Richard P. Slaughter Holdings, Inc.

Many of our employees are shareholders of Richard P. Slaughter Holdings. Brooks C. Slaughter is the principal owner (i.e., controls 25% or more) of Richard P. Slaughter Holdings.

RPS provides Discretionary Investment Management Services and Retirement Plan Consulting Services as a 3(38) fiduciary to employer-sponsored retirement savings plans and their sponsors. We also offer Non-Discretionary Participant Services to Plan participants. Depending on the type of Plan and the specific arrangement with the Sponsor, we may provide one or more of these services. Services rendered depend upon your needs and wants.

**Discretionary Investment Management Services** are designed to allow the Plan fiduciary to delegate responsibility for managing, acquiring and disposing of Plan assets that meet the requirements of ERISA. If the Plan is subject to ERISA, we will perform these services as an “investment manager” and “fiduciary” as defined under ERISA Section 3(38). Specifically, the Sponsor may determine that we perform the following services:

- Selection, monitoring and replacement of designated investment alternatives (**DIAs**)
- Creation and maintenance of model asset allocation portfolios
- Selection, monitoring and replacement of qualified default investment alternatives (**QDIAs**)

RPS has entered into a service agreement with Richard P. Slaughter Associates, Inc. (RPSAI), an affiliated firm, to provide investment analysis through its Investment Team. RPSAI provides investment consulting, research, and assessments of RPS plan core line ups. RPS is also engaged in a vendor agreement with Retirement Plan Advisory Group (RPAG) to provide investment research and scoring.

**Non-Discretionary Participant Services** include participant education and assistance with financial wellness. RPS provides participants with a detailed explanation of plan options in order to construct an investment portfolio within the Plan. Plan participants are neither clients of RPS, nor are they protected by the fiduciary duty. The Plan participant retains sole discretion over the investment of his/her account.

**Retirement Plan Consulting Services** are designed to allow our Investment Advisor Representatives (IARs) to assist the Sponsor in meeting his/her fiduciary duties to administer the Plan in the best interests of Plan participants and their beneficiaries. Retirement Plan Consulting Services are performed so that they would not be considered “investment advice” under ERISA. The Sponsor may elect for our IARs to assist with any of the following services:

- Administrative Support
- Service Provider Support
- Investment Monitoring Support
- Participant Services

#### **Potential Additional Retirement Services**

If we are providing Retirement Plan Services to a plan, a Plan participant or beneficiary may request financial planning or discretionary investment management services. In such cases, RPS would refer the participant or beneficiary to a firm that provides those services to individuals.

RPS does not provide advice to Plan participants or beneficiaries regarding whether to rollover funds from a Plan to an IRA or to another Plan. RPS will provide educational information, when requested, regarding a Plan participant’s or beneficiary’s choices; however, any decision to affect the rollover or about what to do with the rollover assets remains that of the Plan participant or beneficiary alone.

If a Plan participant or beneficiary desires to affect an IRA Rollover from the Plan to an account advised or managed by an affiliated company, RPS has a conflict of interest if his/her fees are reasonably expected to be higher than

those we would otherwise receive in connection with the Retirement Plan Services. Any decision to affect the rollover or about what to do with the rollover assets remain that of the Plan participant or beneficiary alone.

In providing these optional services, we may offer employers and employees information on other financial and retirement products or services offered by our affiliates or related parties.

### **Individually Tailored Services**

When providing investment fiduciary services, we will tailor our advice or (if applicable) discretion to meet the investment policies or other written guidelines adopted by the Sponsor. When providing Participant Investment Advice, such advice will be based upon the investment objectives, risk tolerance and investment time horizon of each individual Plan participant.

As of December 31, 2022, we managed:

- \$346,955,169 on a discretionary basis
- \$0 on a non-discretionary basis

## **Item 5: Fees and Compensation**

Fees for Retirement Plan Services are negotiable and vary based upon the nature, scope and frequency of our services as well as the size and complexity of the plan. Fees are negotiable and are billed in arrears rather than in advance of the quarter. The billing schedule may include a flat plan support fee, a per participant fee, a project fee and/or an asset-based fee.

Our standard fee schedule is as follows:

<u>Total Asset Value</u>	<u>Annualized Fee</u>
On the first \$3,000,000	.35%
On the next \$4,000,000	.20%
On the next \$3,000,000	.15%
On the next \$5,000,000	.10%
On amounts greater than \$15,000,000	.05%

Plus \$30 per participant annually. We impose an annual minimum fee of \$8,000.

Typically, Sponsors instruct the Plan's recordkeeper or custodian to automatically deduct our Fees from the Plan account; however, in some cases a Sponsor may request that we send invoices directly to the Sponsor or recordkeeper/custodian.

### **Negotiable fees**

Our fees for Retirement Plan Services are negotiable at our sole discretion, depending upon objective and subjective factors including but not limited to: the amount of assets to be managed; the scope and complexity of the engagement; the anticipated number of meetings and servicing needs; related accounts; future earning capacity; anticipated future additional assets; the professional(s) rendering the service(s); prior relationships with our firm and/or its representatives, and negotiations with the client. Certain legacy clients may have accepted different pre-existing service offerings from our firm and may therefore receive services under different fee schedules than as set forth above. As a result of these factors, similarly situated clients could pay different fees, the services to be provided by us to any particular client could be available from other advisers at lower fees, and certain clients may have fees different than those specifically set forth above. This includes other fee schedules where break points and management fee percentages may be different. **Our Chief Compliance Officer, Brooks Slaughter, remains available to address any questions that a client or prospective client may have regarding the above fee determination.**

Sponsors receiving Retirement Plan Services may pay more than or less than a client might otherwise pay if purchasing the Retirement Plan Services separately or through another service provider. There are several factors that determine whether the costs would be more or less, including, but not limited to, the size of the Plan, the

specific investments made by the Plan, the number of or locations of Plan participants, services offered by another service provider, and the actual costs of Retirement Plan Services purchased elsewhere. In light of the specific Retirement Plan Services offered by us, the Fees charged may be more or less than those of other similar service providers.

In determining the value of the Account for purposes of calculating any asset-based Fees, Advisor will rely upon the valuation of assets provided by Sponsor or the Plan's custodian or recordkeeper without independent verification. Unless we agree otherwise, no adjustments or refunds will be made in respect of any period for (i) appreciation or depreciation in the value of the Plan account during that period or (ii) any partial withdrawal of assets from the account during that period. Unless we agree otherwise, all Fees shall be based on the total value of the assets in the account without regard to any debit balance.

All Fees paid to us for Retirement Plan Services are separate and distinct from the fees and expenses charged by mutual funds, variable annuities and exchange-traded funds to their shareholders. These fees and expenses are described in each investment's prospectus. These fees will generally include a management fee, other expenses, and possible distribution fees. If the investment also imposes sales charges, a participant may pay an initial or deferred sales charge.

In the event we receive any third-party payments or subsidies in connection with our Retirement Plan Services, we will disclose such fees to Sponsors in accordance with ERISA and Department of Labor regulations.

No increase in the Fees will be effective without prior written notice.

Either party (we or the client) may terminate the agreement by providing 30 days prior written notice to the other party. If the Investment Management Agreement is terminated by either the client or us effective as of a date which is not the end of a calendar quarter, the client will pay a pro rata portion of the fees based on the actual number of days elapsed. It should be noted that in our consulting capacity, we act as both the pension consultant and the 3(38) investment manager, although we do not charge any additional fees for money management.

## **Item 6: Performance-Based Fees and Side-by-Side Management**

Performance-based fees are defined as fees based on a share of capital gains on or capital appreciation of the assets held in a client's account. Item 6 is not applicable, as neither our firm nor our employees currently accept performance-based fees or engage in side-by-side management.

## **Item 7: Types of Clients**

Our Retirement Plan Services are available to clients that are sponsors or other fiduciaries to plans, including 401(k), 457(b), 403(b) and 401(a) plans. Plans include participant-directed defined contribution plans and defined benefit plans. Plans may or may not be subject to ERISA. We do not require a minimum asset amount for Retirement Plan Consulting Services.

## **Item 8: Methods of Analysis, Investment Strategies, and Risk of Loss**

### **Analysis**

RPS uses multiple sources of information to formulate analysis and strategies. They include sources such as research provided by Morningstar and other service providers, such as a fund family or third party administrators. We use both fundamental analysis and technical analysis to formulate investment advice. Fundamental analysis values securities by examining a company's financials and operations and considering only those variables directly related to a company rather than the overall state of the market. Technical analysis uses past trends to predict future trends in security price movement. Researcher subjectivity, unforeseen events and undisclosed data are all material risks that could affect the outcomes of these methods of analysis.

### **Investment Strategies**

For a Retirement Plan or Plan Sponsor, we will construct a prudent investment lineup for the sponsored Retirement Plan based on information derived from conversations with the client and the Retirement Plan's documents, which typically include an investment policy statement. In determining the investment alternatives for the Retirement Plan,

RPS considers the universe of investments available to 401(k) plans on open architecture recordkeeping platforms. Factors considered include: expense ratios, historical investment performance, asset class exposures, expected returns and volatility. Once the investment lineup is created, we will monitor the investments in the Retirement Plan and advise if funds should be replaced.

RPS has entered into a service agreement with Richard P. Slaughter Associates, Inc. (RPSAI), an affiliated firm, to provide investment analysis, research and consulting through its Investment Team. RPSAI analyzes and researches funds selected by RPS for each Plan line-up. RPSAI uses quantitative and qualitative research to assess the quality and appropriateness of each fund selected.

Risk-based funds are selected for Plan line-ups after consideration of the appropriate categories needed for a Plan's participants to have access to a diversified portfolio. RPS utilizes third-party scoring to curate a list of potential funds and narrows the decision based on research and consultation with RPSAI. Funds are monitored for changes in score and for continued appropriateness to the specific Plan line-up.

Target Date Suites of funds are selected for Plan line-ups after consideration of metrics reported by RPS's participant services team. RPS identifies fund families that could potentially meet the needs of the Plan participants and narrows the decision based on RPSAI research and vendor screening. RPS continues to review Target Date Suites as participant metrics and markets change, and fund families evolve.

### **Risk of Loss**

All investments include a risk of loss. In addition, performance of any investment is not guaranteed. As a result, there is a risk that a target date fund, and any other investments we may recommend for a Retirement Plan may lose value. We use our best efforts and expertise to make our recommendations. However, we cannot guarantee any level of performance or that you will not experience financial loss.

RPS will use our best judgment and good faith efforts in rendering services to you. We cannot warrant or guarantee any particular level of account performance, or that the account will be profitable over time. Not every investment decision or recommendation made by us will be profitable. You assume all market risk involved in the investment of your Retirement Plan account's assets under the Investment Management Agreement and understand that investment recommendations made for this account are subject to various market, currency, economic, political and business risks.

### **Mutual Funds, Exchange-Traded Funds, and Collective Investment Trusts**

An investment in any pooled investment vehicle including Mutual Funds, Exchange-Traded funds and Collective Investment Trusts involves risk, including the loss of principal. Investors in these types of securities are necessarily subject to the risks stemming from the individual issuers of the fund or trust's underlying portfolio securities.

## **Item 9: Disciplinary Information**

This item is not applicable, as we have no legal or disciplinary events to disclose.

## **Item 10: Other Financial Industry Activities and Affiliations**

Our firm's Managing Partner and Chief Compliance Officer, Brooks C. Slaughter, also serves as the Managing Partner and Chief Compliance Officer of an affiliated state registered investment adviser, SIM EMP ("SIM"). Also, certain of our firm's owners are owners of SIM, including: Brooks Slaughter, Barbara Slaughter, and Kirsten Slaughter. SIM is registered with the state of Texas and provides discretionary investment advisory services on an asset fee basis.

**Conflict of Interest:** The recommendation by us or our representatives that a client seek investment advisory services from SIM presents a **conflict of interest**, as we could have an incentive to make such a recommendation based on fees received by our affiliated firm from that client, rather than on a particular client's need. Our firm and its representatives from time to time refer current clients to SIM to receive investment advisory services. Clients are reminded that they are not under any obligation to pursue investment advisory services from SIM. Neither RPS nor SIM receive any compensation for referrals made between the firms.

Our firm's Managing Partner and Chief Compliance Officer, Brooks C. Slaughter, also serves as the President and Chief Compliance Officer of an affiliated SEC registered investment advisor, Richard P. Slaughter Associates, Inc. (RPSAI). Both RPSAI and RPS are wholly owned subsidiaries of Richard P. Slaughter Holdings. RPSAI provides both discretionary and non-discretionary investment advisory services on a fee-only basis. RPSAI provides our firm with office space and shared operations support.

**Conflict of Interest:** The recommendation by us or our representatives that a client seek investment advisory services from RPSAI presents a conflict of interest, as we could have an incentive to make such a recommendation based on fees received by our affiliated firm from that client, rather than on a particular client's need. In addition, RPS representatives may be shareholders of Richard P. Slaughter Holdings and, as such, could earn revenue from each of the firms at the holding company level for such referrals. Our firm and its representatives from time to time refer current clients to RPSAI to receive investment advisory services. Clients are reminded that they are not under any obligation to pursue investment advisory services from RPSAI. Neither RPS nor RPSAI receive any compensation for referrals made between the firms.

**Our firm's Chief Compliance Officer, Brooks Slaughter, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

## Item 11: Code of Ethics, Participation or Interest in Client Transactions, and Personal Trading

We have a written Code of Ethics that governs the professional behavior of our employees. The Code of Ethics addresses standards of conduct and compliance with laws, protection of material nonpublic information, reporting violations, educating employees about the Code of Ethics, advisor review and enforcement, and recordkeeping. We will supply a copy of the Code of Ethics to any client or prospective client upon request.

Please see the Part 2A Brochure for RPSAI or SIM for additional details related to the Code of Ethics that is required of each firm.

## Item 12: Brokerage Practices

When appropriate, based on the needs of each plan, we may recommend that a plan use a certain retirement plan platform or service provider (such as a recordkeeper, administrator or broker-dealer) with which we are familiar and may have an existing working relationship. Our firm is independently owned and operated, and not affiliated with recordkeepers, administrators or broker-dealers. While we may make recommendations, the Plan Sponsor decides the service providers with which to work.

Our firm may receive certain benefits from recommending particular service providers, including access to software and other technology (and related technological training) that provide access to client account data. Service providers may provide research, pricing information and other market data not available to the general public. Service providers that offer open architecture allow us more investment choices. We may also gain access to practice management, support functions, recordkeeping and client reporting. Plan Sponsors may select service providers that offer efficiencies such as integration with payroll and benefits, reporting, ease of access and ease of use.

### **Research and Other Soft Dollar Benefits**

RPS does not participate in any soft dollar arrangements.

## Item 13: Review of Accounts

RPS conducts account reviews on an ongoing basis, with the frequency determined by agreement with the client. Client portfolios are reviewed on a quarterly basis to ensure investments adheres to the goals outlined in each Client's Investment Policy Statement.

We will contact clients at least once a year to review the services being provided. It is important that you discuss any changes in the Plan's demographic information, investment goals, and objectives with us. Plans may receive

written reports directly from us based upon the services being provided, including any reports evaluating the performance of Plan investment manager(s) or investments.

#### Item 14: Client Referrals and Other Compensation

As noted in Item 10, RPS, RPSAI and SIM may refer clients to one another. Although affiliated firms may refer clients to one another, there is no sharing of fees between firms. No commissions are paid to firm representatives of RPS or affiliated firms for client referrals.

No *Firm* Employee or representative shall give any type of gift to a fiduciary of an ERISA plan for which the *Firm* provides services (i.e., a plan trustee or other plan fiduciary service provider) unless such proposed gift is first reported to, and approved by, the *Firm's* Chief Compliance Officer

#### Item 15: Custody

We will not serve as a custodian for Plan assets in connection with the Retirement Plan Services. The Sponsor is responsible for selecting the custodian for Plan assets. We may be listed as the contact for the Plan account held at an investment sponsor or custodian. The Sponsor for the Plan will complete account paperwork with the outside custodian that will provide the name and address of the custodian. The custodian for Plan assets is responsible for providing the Plan with periodic confirmations and statements. We recommend that the Sponsor reviews the statements and reports received directly from the custodian or investment sponsor.

#### Item 16: Investment Discretion

When providing Retirement Plan Services described herein, we may exercise discretionary authority or control over the investments held by the Plan. We perform these services for the Plan as a fiduciary investment manager under ERISA Section 3(38). We are legally required to act with the degree of diligence, care and skill that a prudent person rendering similar services would exercise under similar circumstances. This discretionary authority is specifically granted to us by the Plan Sponsor, pursuant to an executed Investment Management Agreement.

#### Item 17: Voting Client Securities

We have no authority or responsibility to vote any security held by the Plan or the related proxies. That authority is reserved by the Sponsor or trustee of the Plan.

#### Item 18: Financial Information

We do not require or solicit prepayment of more than \$1,200 in fees per client, six months or more in advance.

Part 2B of Form ADV: Brochure Supplement

***Brochure Supplement for:  
CERTIFIED FINANCIAL PLANNER™ Professionals and Advisory Staff:***

Mari Erb  
Virginia Malavé Pañeda  
Brooks Slaughter  
Phil Webb  
Nicholas Whitely

***Contact Information:***  
**RPS Retirement Plan Advisors**  
**Austin, Texas Physical Address:**  
13809 Research Blvd., Suite 905  
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**Websites and Social Media:**  
[www.rpsplanadvisors.com](http://www.rpsplanadvisors.com)  
[www.linkedin.com/company/rps-retirement-plan-advisors](http://www.linkedin.com/company/rps-retirement-plan-advisors)

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***This brochure supplement provides information about our firm that supplements the RPS Retirement Plan Advisors brochure. You should have received a copy of that brochure. If you did not, or if you have any questions about the contents of this supplement, please contact RPS Retirement Plan Advisors.***

***Additional information about the persons listed above is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).***

## Item 2: Educational Background and Business Experience

### Supervised Persons

#### **Mari Elizabeth Erb, MBA, CPFA®, AIF®, CFP®**

Year of Birth: 1995

##### **Education:**

- Bachelor's degree in Personal Financial Planning, Kansas State University
- M.B.A., Texas State University

##### **Business Experience:**

- **RPS Retirement Plan Advisors**, Director of Retirement Service and Operations, April 2022 - Present
  - **Richard P. Slaughter Associates, Inc.**, Director of Retirement Service Operations, July 2018 – April 2022
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#### **Virginia Malavé Pañeda, CFP®, AIF®**

Year of Birth: 1969

##### **Education:**

- B.A. in Multinational Organizational Studies, St. Mary's University

##### **Business Experience:**

- **RPS Retirement Plan Advisors**, Retirement Service Specialist, April 2022 - Present
  - **Richard P. Slaughter Associates, Inc.**, Special Consultant, January 2005 – April 2022
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#### **Brooks Collier Slaughter, MBA, CFP®**

Year of Birth: 1964

##### **Education:**

- B.S. in Electrical Engineering, The University of Texas at Austin
- M.B.A., University of Houston-Clear Lake

##### **Business Experience:**

- **RPS Retirement Plan Advisors**, Managing Partner and Chief Compliance Officer, April 2022 - Present
  - **Richard P. Slaughter Associates, Inc.**, President, CEO, Chairman of the Board and Chief Compliance Officer, August 1992 - Present
  - **Strategic Investment Management**, Managing Partner and Chief Compliance Officer, December 2003 - Present
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#### **Philip Lee Webb, AIF®, CPFA®**

Year of Birth: 1970

##### **Education:**

- Attended Northlake Community College, Accounting and Business

##### **Business Experience**

- **RPS Retirement Plan Advisors**, Vice President, Senior Plan Advisor, April 2022 - Present
  - **Richard P. Slaughter Associates, Inc.**, Vice President, Senior Plan Advisor, November 2013 – April 2022
-

## **Nicholas Whitely, CPFA®**

Year of Birth: 1999

### **Education:**

- B.S. in Biochemistry, University of Texas at Austin

### **Business Experience**

- **RPS Retirement Plan Advisors**, Retirement Service Specialist, April 2022 - Present
  - **Richard P. Slaughter Associates, Inc.**, Retirement Service Specialist, July 2021 – April 2022
- 

## **Designation descriptions and minimum qualifications.**

### **CFP® certification:**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- **Education** – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination, previously administered in 10 hours over a two-day period and currently administered in 6 hours over a one-day period, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- **Experience** – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- **Ethics** – Agree to be bound by CFP Board’s Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- **Continuing Education** – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- **Ethics** – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

**Accredited Investment Fiduciary® (AIF®):**

The AIF designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF designation, individuals must complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the AIF Code of Ethics. In order to maintain the AIF designation, the individual must annually renew their affirmation of the AIF Code of Ethics and complete six hours of continuing education credits. The certification is administered by the Center for Fiduciary Studies, LLC (a Fiduciary360 (fi360) company).

**Certified Plan Fiduciary Adviser (CPFA®):**

Federal law regulates standards of conduct for those who manage qualified retirement plans. Plan advisers who sell and service these plans must act in accordance with these basic fiduciary principles. The Certified Plan Fiduciary Adviser (CPFA) credential demonstrates an adviser's knowledge of, expertise in, and commitment to working with retirement plans. Plan advisers who earn their CPFA demonstrate the expertise required to act as a plan fiduciary or help plan fiduciaries manage their roles and responsibilities.

The CPFA credential is issued by NAPA (National Association of Plan Advisors), and to earn it candidates must pass the CPFA examination. This exam includes 75 multiple choice questions for which a candidate will have 3 hours to complete. To maintain the CPFA credential, 10 hours of continuing education is required each year.

**Item 3: Disciplinary Information**

Neither RPS Retirement Plan Advisors nor any Supervised Persons have any legal or disciplinary events to disclose.

**Item 4: Other Business Activities**

As noted in Item 10 of the Brochure for RPS Retirement Plan Advisors, Brooks C. Slaughter is a control owner and Managing Partner of RPS Retirement Plan Advisors, control owner and President of Richard P. Slaughter Associates, Inc. and control owner and Managing Partner of SIM EMP. Brooks' primary employment is with Richard P. Slaughter Associates, Inc.

Please also see sections 7 and 12 of RPS's brochure noted above for additional information on both Richard P. Slaughter Associates, Inc. and Strategic Investment Management.

**Item 5: Additional Compensation**

Please see Items 12 and 14 of the Brochure for RPS Retirement Plan Advisors for information on economic benefits other than the standard compensation package provided to employees of RPS.

**Item 6: Supervision**

**Supervisor:** Brooks C. Slaughter

**Title:** Chief Compliance Officer (CCO)

**Phone Numbers:** 512-918-0000 or 800-821-5610.

The CCO will administer RPS's compliance policies and procedures. He will utilize the assistance of the Compliance Officer in areas including, but not limited to, the following:

- Monitoring rules and regulations that apply to Registered Investment Advisors (RIAs)
- Monitoring for any compliance policies or procedures changes that are needed within the company
- Keeping RPS's written compliance policies and procedures up to date
- Making annual and amendment filings, as applicable, with the proper regulatory agencies
- Educating RPS employees about the company's compliance policies and procedures
- Monitoring for any breaches of compliance policies or procedures

The CCO's personal securities transactions are reviewed by Darby Armont, EVP, Richard P. Slaughter Associates, Inc., who may be reached at 512-918-0000.