

~THE~ 2014 Pensions & Investments Best Places to Work

Welcome to *Pensions & Investments'* **Best Places to Work in Money Management** survey, conducted by our research partner Buck Consultants. Please answer the following questions as thoroughly as you can.

Failing to answer all the questions could result in a lower score for your company.

Your company must complete the employer survey by July 11, 2014.

If you have any questions, please contact Editor Nancy Webman at 312-649-5284 or e-mail: nwebman@pionline.com.

COMPENSATION STRATEGIES

What is your company's compensation philosophy in relation to the market?

- Above 75th percentile
- 51st to 75th percentile
- At 50th percentile
- Below 50th percentile
- Do not have a specific strategy

Please indicate the average base pay increase the following employee groups received in the latest fiscal year: Please provide whole numbers only. Base pay increase (%)

Portfolio management

Research

Client service

Sales and marketing

***What employee groups in your company are eligible to participate in pay-for-performance plans? (Check all that apply)**

- Portfolio management
- Research
- Client service
- Sales and marketing
- Other, please specify: _____
- We do not have a pay-for-performance plan

What percentage of the company is owned by employees? (Please enter percentage as whole number)

*Answer required

PAY-FOR-PERFORMANCE

What percentage of employees participates in performance-based pay plans? (Please enter percentages as whole numbers)

Performance-based salary increase:

Annual bonus/incentive plan:

Long-term incentive plan:

Please indicate the significance of INDIVIDUAL performance when determining annual incentive payouts for each of the following:

	A greater impact than other performance factors	Impact on par with other performance factors	Somewhat of an impact	Little to no impact
Portfolio management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Client service	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sales and marketing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other, please specify:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
We do not have a pay-for-performance plan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please indicate the significance of TEAM performance when determining annual incentive payouts for each of the following:

	A greater impact than other performance factors	Impact on par with other performance factors	Somewhat of an impact	Little to no impact
Portfolio management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Client service	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sales and marketing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other, please specify:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
We do not have a pay-for-performance plan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please indicate the significance of FIRM performance when determining annual incentive payouts for each of the following:

	A greater impact than other performance factors	Impact on par with other performance factors	Somewhat of an impact	Little to no impact
Portfolio management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Client service	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sales and marketing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other, please specify:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
We do not have a pay-for-performance plan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

PAY-FOR-PERFORMANCE

Please indicate which programs your company offers. (Check all that apply)

- Profit-sharing plan
- Employee stock ownership plan
- Business unit incentives
- Combination business unit and group/individual incentives
- Gainsharing
- Bonus plan
- Restricted stocks
- Stock options
- Phantom equity
- Cash
- None of the above

Does your company:

	Yes	No
Survey employees about perceived fairness of performance reviews?	<input type="radio"/>	<input type="radio"/>
Require performance reviews on every employee at least once a year?	<input type="radio"/>	<input type="radio"/>
Specifically train managers to conduct performance reviews?	<input type="radio"/>	<input type="radio"/>
Specifically train managers to assist employees in setting performance goals?	<input type="radio"/>	<input type="radio"/>
Require managers and their employees to collaboratively set goals?	<input type="radio"/>	<input type="radio"/>

HEALTH-CARE BENEFITS

***Does your company offer any of the following?**

	Employer pays 100%	Employee pays 100%	Both pay	No coverage
Medical coverage	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Dental coverage	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Life insurance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Long-term-care insurance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Prescription coverage	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Vision coverage	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Short-term disability	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Long-term disability	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*Answer required

If both pay, please specify percentage of employer's contribution (%)

- Medical coverage
- Dental coverage
- Life insurance
- Long-term-care insurance
- Prescription coverage
- Vision coverage
- Short-term disability
- Long-term disability

HEALTH-CARE BENEFITS - MEDICAL

Which health-care plan types does your company offer to your employees? (Check all that apply)

- High-deductible health plan (HDHP)
- Health maintenance organization (HMO)
- Point of service (POS)
- Preferred provider company (PPO)
- Indemnity plan
- Other, please specify: _____

Which of the following flexible benefits does your company offer? (Check all that apply)

- Health savings account (HSA)
- Health reimbursement account (HRA)
- Flexible spending account (FSA)
- Premium conversion plan (allows pre-tax employee contributions for health care)
- Full flex plan (premium conversion plus multiple benefit choices)
- Other, please specify: _____
- No flexible benefits

When is a new employee eligible to enroll in the company's health-care plan?

- First day of hire
- One month after hire
- Two months after hire
- Greater than two months
- Other, please specify: _____

Does your company:

	Yes	No
Provide health-care benefits to employee's same-sex partner?	<input type="radio"/>	<input type="radio"/>
Provide online decision-making tools to help employees select health plans?	<input type="radio"/>	<input type="radio"/>
Provide website portals to help employees manage their health-care plans?	<input type="radio"/>	<input type="radio"/>

HEALTH-CARE BENEFITS - SHORT-TERM DISABILITY PLAN

Please indicate the eligibility waiting period for participation in the short-term disability plan:

- No waiting period, immediately enrolled
- 1 month
- 3 months
- 6 months
- 12 months
- Other, please specify: _____

What is the maximum number of days an employee can receive short-term disability?

Number of days:

HEALTH-CARE BENEFITS - LONG-TERM DISABILITY PLAN

How long must an employee be disabled before being eligible for long-term disability benefit payments?

- No elimination period
- Varies by service
- 1 month
- 3 months
- 6 months
- Other, please specify number of months: _____

How long do benefits continue during long-term disability?

- For full duration of long-term disability
- For a fixed period of time while on long-term disability (please specify number of months):

- Until Social Security disability insurance is awarded
- Other, please specify: _____

HEALTH-CARE BENEFITS - HEALTH MANAGEMENT AND WELLNESS PROGRAMS

Please indicate if your company offers any of the following health management and wellness programs: (Check all that apply)

- Fitness programs
- Medical screening
- Preventive care
- Health risk appraisal
- Disease management
- Wellness programs
- Health advocacy
- On-site medical care
- Integrated health portal
- Health coaching
- None of the above

Which types of incentives does your company offer to encourage participation in health management and wellness programs? (Check all that apply)

- Cash
- Contribution to HSA/HRA
- Prizes/discounts
- Reduced employee premium contribution
- Extra days off
- Other, please specify: _____
- None

How does your company promote health management and wellness programs? (Check all that apply)

- E-mails
- Employer website
- Health fair
- Information meetings
- Interoffice mail
- Posting
- Regular mail
- Other, please specify: _____
- None of the above

RETIREMENT BENEFITS - DEFINED BENEFIT PLAN

***Does your company offer a defined benefit plan (e.g., pension plan) for your active employees?**

- Yes
- Yes, but closed to new entrants
- Yes, but frozen with no additional benefit accruals
- No

Does your company provide the following to your employees? (Check all that apply)

- Retirement financial planning programs/seminars
- Retirement financial estimator/modeling tools
- General workshops to help employees transition into retirement
- None of the above

*Answer required

RETIREMENT BENEFITS - DEFINED BENEFIT PLAN

What type of defined benefit plan does your company offer?

- Traditional plan
- Hybrid plan (e.g., cash balance)
- Other, please specify: _____

What types of employees are eligible for a defined benefit plan?

- Full time employees only
- All employees

What is the maximum percentage of pay received under the plan?

Please enter percentage of pay as a whole number:

Does your company offer retiree medical benefits?

- Yes
- No

RETIREMENT BENEFITS - DEFINED CONTRIBUTION PLAN

***Does your company offer a defined contribution plan (e.g., 401(k))?**

- Yes
- No

*Answer required

RETIREMENT BENEFITS - DEFINED CONTRIBUTION PLAN

What type of defined contribution plan(s) does your company offer? (Check all that apply)

- 401(k)
- Profit-sharing plan
- Money purchase plan
- Target benefit plan
- ESOP (employee stock ownership plan)
- Other, please specify: _____

What types of employees are eligible for a defined contribution plan?

- Full time employees only
- All employees

Does your company provide matching for your employee 401(k) plan?

- Yes (please specify the maximum employer match as a percentage of employee salary):

- No

WELFARE BENEFITS

***What type of paid time off program does your company offer?**

- Traditional vacation plan
- Paid time off
- Not offered

How many paid holidays (national and state) will your company observe in calendar year 2014?

Number of holidays:

*Answer required

WELFARE BENEFITS - TRADITIONAL VACATION PLAN

At five years of service, for how many days of paid vacation are the following employee groups eligible? Number of days

- Portfolio management
- Research
- Client service
- Sales and marketing

Are employees permitted to carry over vacation days?

- Yes, unlimited
- Yes, specific number of days
- No

Does your company offer floating days off beyond the standard number of company holidays?

- Yes, but varies by years of service
- Yes, but varies by job level
- Yes, it is a fixed number of days for all employees (please specify number of days):

- No

WELFARE BENEFITS - SICK PAY

Please indicate the type of fully paid sick pay benefits your company provides for all employees:

- Unlimited
- Fixed number of days per year
- Fixed number of days per accident/illness
- No distinction between sick pay and short-term disability (please specify the number of days per year): _____
- No sick pay

Are employees permitted to carry over sick days?

- Yes, unlimited
- Yes, specific number of days
- No

Are employees allowed to donate sick days to a sick leave bank?

- Yes
- No

WELFARE BENEFITS - PAID TIME OFF (PTO)

At five years of service, for how many days of PTO are the following employee groups eligible? Number of days

Portfolio management

Research

Client service

Sales and marketing

Are company holidays also included in the PTO plan?

Yes

No

Are employees permitted to carry over PTO days ?

Yes, unlimited

Yes, specific number of days

No

CAREER DEVELOPMENT

Which development programs does your company offer? (Check all that apply)

- Mentoring
- Cross-training
- Participation on task forces
- Education and training
- Professional certification programs
- Other, please specify: _____
- None of the above

Does your company reward employees for achieving certifications or degrees?

- Yes, one-time bonus
- Yes, pay increase
- No

Does your company reimburse tuition for courses and training related to an employee's job or other jobs in the career path?

- Yes, all courses
- Yes, only job-related courses
- No

***Please indicate if your company has the following programs in place: (Check all that apply)**

- Formal orientation program for new hires
- Formal orientation program for newly promoted employees
- No formal orientation program

What is your company's targeted number of days of formal training for each employee per year?

- 1 - 5 days
- 6 - 10 days
- More than 10 days
- No target

Does your company:

	Yes	No
Provide specific programs targeted to high-potential employees?	<input type="radio"/>	<input type="radio"/>
Have formal succession planning for critical positions?	<input type="radio"/>	<input type="radio"/>
Provide leadership training and development for managers?	<input type="radio"/>	<input type="radio"/>
Require formal development plans for managers?	<input type="radio"/>	<input type="radio"/>
Actively promote collaboration between employees and the company in the career development process?	<input type="radio"/>	<input type="radio"/>

***Please indicate the typical annual turnover rate for the following employee groups:
(Please enter as a whole number)**

- Senior management
- Portfolio management
- Research
- Client service
- Sales and marketing
- All employees

*If you cannot provide for each employee group, please provide the annual turnover rate for all employees.

Please indicate the annual turnover rate for investment personnel:

Please enter as a whole number:

What is the average tenure at your company for investment personnel?

Please specify average tenure in years as a whole number:

*Answer required

CAREER DEVELOPMENT

Does your orientation program:

	Yes	No
Involve senior management/leadership to communicate corporate history, mission, values and strategy?	<input type="radio"/>	<input type="radio"/>
Use interactive media (internet, videos, virtual tours)?	<input type="radio"/>	<input type="radio"/>
Provide a detailed schedule of activities to pace information, enrollments, etc.?	<input type="radio"/>	<input type="radio"/>
Require participation by employee's manager?	<input type="radio"/>	<input type="radio"/>
Include informal team-building and networking activities in addition to formal activities?	<input type="radio"/>	<input type="radio"/>
Assign a mentor so new hire has one resource for questions and concerns?	<input type="radio"/>	<input type="radio"/>

DIVERSITY AND WORK-LIFE BALANCE

Does your company:

	Yes	No
Include diversity among its core values?	<input type="radio"/>	<input type="radio"/>
Have targeted mentoring programs for women and minorities?	<input type="radio"/>	<input type="radio"/>
Provide diversity training for all employees?	<input type="radio"/>	<input type="radio"/>
Have a "diversity council" or other formally constituted team focused on diversity?	<input type="radio"/>	<input type="radio"/>

**What percentage of your company's are female, minorities, disabled and/or veterans?
(Please enter percentage as whole number)**

Percentage of FMDV:

Which of the following work-life benefits does your company offer? (Check all that apply)

- Flex time
- Telecommuting
- Child care
- Elder care
- Family leave
- Job sharing
- Employee assistance programs (EAPs)
- In-house store/services
- Concierge services
- On-site dry cleaning
- Pet sitting
- House sitting
- Paid sabbatical
- None of the above

EMPLOYEE RELATIONS AND SOCIAL RESPONSIBILITY

Does your company offer the following HR compliance training to your employees?

(Check all that apply)

- Ethics and code of conduct
- Sexual harassment
- Civil treatment in the workplace
- CPR/safety procedures
- Other, please specify: _____
- None of the above

Please indicate whether your company does any of the following: (Check all that apply)

- Give employees paid time off for community service
- Match employee contribution to charities, non-profit or educational institutions
- Have a formal "green" or environmental awareness initiative
- Have a recycling or waste-reduction program
- Use recycled materials in all or some of your products
- Use renewable energy (e.g., solar, wind) in your offices or production facilities
- Other, please specify: _____
- None of the above

CORPORATE CULTURE AND COMMUNICATION

Does your company:

	Yes	No
Have a published statement of your company's desired culture (values, beliefs and expected behaviors)?	<input type="radio"/>	<input type="radio"/>
Include education on the company's culture in your new-employee orientation program?	<input type="radio"/>	<input type="radio"/>
Assess the consistency of employees' behavior with the company's cultural values as part of the performance review process?	<input type="radio"/>	<input type="radio"/>
Conduct periodic surveys to assess the health of your company's culture?	<input type="radio"/>	<input type="radio"/>
View company culture as a strategic advantage for your business?	<input type="radio"/>	<input type="radio"/>

Which of the following specific strategies are you using to align employees to your corporate culture? (Check all that apply)

- Town hall or similar meetings
- Newsletters
- Training and development
- Incorporated in recruiting/hiring process
- Rewards/incentives/bonuses
- Internal culture seminars
- Communication of values
- Celebrations and ceremonies
- No strategies in place

SPECIAL PERKS

Does your company provide the following for employees? (Check all that apply)

- Free or subsidized meals
- Recreational amenities (e.g., basketball courts)
- On-site fitness center/fitness club membership
- Public transit reimbursements
- Company-paid parking
- Car service/taxi reimbursement
- Company car
- Credit union
- Adoption assistance
- Financial assistance for in-vitro fertilization
- Auto/homeowner's/renter's insurance
- Pet insurance
- Other, please specify: _____
- None of the above

Please describe any other perks that your company offers to employees.

***How important are the following elements to your company in providing the best workplace for your employees?**

	Extremely important	Very Important	Moderately important	Slightly important	Not at all important	Not applicable
Compensation (e.g., salary, bonus)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Pay-for-performance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Health-care benefits	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Retirement benefits (e.g., 401(k), pensions, savings plan)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Welfare benefits (e.g., paid time off, vacation, sick pay)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Career development (e.g., training, tuition reimbursement)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Diversity and work-life balance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Employer relations and social responsibility	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Corporate culture and communication (e.g., management leadership, employee engagement, philosophy)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Special perks (e.g., corporate gatherings, provide child care, free meals)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*Answer required

ADDITIONAL QUESTIONS

In what ways does your company encourage and reward creativity?

What does your company do to encourage a collaborative work environment?

Describe your office space, including workspaces and meeting areas.

What specific initiatives does your company have in place to attract and retain diverse workforce/minority employees?