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**Directory of  
Individual 401(k) and Small Business  
Retirement Plan Providers**  
(Revised and Update as of March 16, 2009)



## Directory of Individual 401(k) Retirement Plan Providers

The self-employed used to say that 401(k) plans weren't in tune with their needs, but thanks to the Economic Growth and Tax Relief Reconciliation Act of 2001 (EGTRRA), they're now singing their praises. While EGTRRA did not explicitly create a new type of retirement plan, it made a number of constructive changes to existing laws governing 401(k) plans that helped cater to the distinctive needs of small businesses where the owner or owners are the only employees.

The following firms have indicated that they can provide 401(k) plans for sole proprietorships and other qualified businesses. These firms also can help small business with retirement plan issues.

This list was compiled from information provided by each vendor. The information provided has not been verified. **401khelpcenter.com, LLC does not endorse nor does it recommend any of these providers or services.**

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<b>Firm Name</b>	<b>Contact Person</b>	<b>Contact's Phone Number</b>	<b>Contact's Email Address</b>	<b>Firm's Website Address</b>
401(k) Advisors	Craig Dewey	757.645.3975	cdewey@401kadvisors.com	www.401kadvisors.com
401k Advisory Group	R. Allen Vaughan	404.441.0064	RvaughAn@cfiemail.com	www.401kadvisorygroup.com
401kbrokers.com	Craig Lewis Gillooly, J.D.	858.454.7090 or 800.474.3826	craig@401kbrokers.com	www.401kbrokers.com
A.G. Edwards	Jon Freye	800.966.6121 x208	jon.freye@agedwards.com	www.agedwards.com
Academy Advisors	Chuck Smith	866.545.8390	chuck@academyadvisors.com	n/a
Adams Advisory Services	Frederick N. Adams	617.236.7310	fadams@shore.net	n/a
ADP Retirement Services	n/a	800.432.4015, option 1	n/a	www.adp401k.com
Advanced Benefits Consulting	Karen M. Szykowski, CPA, MST	314.539.0836	Karen.Szykowski@nmfn.com	n/a

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Aegis Asset Management	Fred Hamsayeh	888.268.7300	fhamsayeh@aegisassetmgt.com	www.AegisAssetMgt.com
AIG SunAmerica Funds	n/a	800.858.8850 x6073	mutualfundinquiry@sunamerica.com	www.sunamericafunds.com
AIM Investments	n/a	800.241.9799	n/a	www.aiminvestments.com
Alliance Pension Consultants	Jeffrey B. Feld, CPA	847.291.9440 x101	Jfeld@alliancepension.com	www.alliancepension.com
American Century Investments	n/a	800.345.3533	n/a	www.americancentury.com
Ascensus	Ben Forness	800.345.6363	n/a	www.ascensus.com
Asset Management Services Group	Tom McNeill, Chairman, CEO	732.223.1388	tkmceo@amsginc.com	n/a
Belanger and Co.	Ken Belanger	610.239.9750	ken@belangerandcompany.com	www.belangerandcompany.com
Benefit Plans Plus	Patrick M. Shelton, GBA	800.511.0726 x1212	pshelton@bpp401k.com	www.bpp401k.com
BenefitStreet	Ken Weida, SVP Advisor Relations	925.328.4547	Ken_Weida@BenefitStreet.com	www.benefitstreet.com
Buzen & Kaplan Financial Group	Seth Kaplan, CDFA	800.877.7783	seth.kaplan@wachoviasec.com	www.buzenkaplan.wbsec.com
Capital Street Financial Services	Randy K. Dahl, Senior Partner	651.665.4300 or 800.728.0144	rdahl@capitalstreet.biz	www.capitalstreet.biz
Century Benefits Consulting	Michele A. Jones, QPA, QKA	415.647.8144	mjones@benefits-shmenefits.com	www.benefits-shmenefits.com
Clark Financial Group	Chuck Clark	913.693.4592	cclark@clarkfinancial.com	www.clarkfinancial.com
Columbia Benefits	Peter F. Hibbard	443.276.0025	phibbard@columbiabenefits.com	n/a
Decimal	Single(k) Services Team	866.401.4100, Option 1	Singlek@theonline401k.com	www.theonline401k.com

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Dominion Financial	Jeff Boyd	619.644.3545 x105	jeffboyd@sammonsrep.com	www.dominionfinancial.net
Eagle Hill Wealth Management	Peter T. Cacioppo, CFP	925.377.6416 (Northern California only)	EagleHill@EagleHillAdvisor.com	www.EagleHillAdvisor.com
Edward Jones	n/a	n/a	n/a	www.EdwardJones.com
Entrust Group, The	n/a	775.850.9110	n/a	www.theentrustgroup.com
ERISA Consultants	David Rhodes	315.682.2285	drhodes@erisaconsultants.com	www.erisaconsultants.com
Expertplan.com	Steve Benson	609.918.2519	info@expertplan.com	www.expertplan.com
Fidelity Investments	n/a	800.544.5373	n/a	www.401k.com
Fifth Third Institutional Services	Sheri Kehren	800.820.9173	Sheri.Kehren@53.com	www.53.com
Financial Network	William J. Millico	800.998.3642	millicow@financialnetwork.com	www.fnic.com
Flexible Benefits Program of Florida	Mark Shepler	561.242.3632	fbpfl@bellsouth.net	n/a
Future Benefits of America	Tony Michael	901.843.7799	tony@fb401k.com	www.fb401k.com
GR Anderson Wealth Management	Gregory Anderson, CFP®	303.388.7708	info@grandersonwealth.com	www.GRAndersonWealth.com
Great Lakes Retirement Plan & Trust	Mario Giganti	800.448.5319	mgiganti@azsure.com	www.ccadvisors.com
Hartford, The	n/a	800.862.6667	retirement@hartfordlife.com	www.hartfordlife.com
Independent Financial Group	James Lorenzen, President	800.257.6659	jiml@indfin.com	www.indfin.com
ING Financial Partners	Lee Kaplowitz, RFG, CLTC, CSA	818.264.4545	Lee.Kaplowitz@ingfp.com	www.ingfinancialpartners.com
INTRUST Bank N.A.	Mike Marlow SVP	913.385.8264	michael.marlow@intrustbank.com	www.intrustbank.com

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Iron Administration	Dick Friedman	847.501.3511	rpf@ironfinancial.com	www.ironfinancial.com
Ivy Funds	n/a	800.472.6330	retirechannel@ivyfunds.com	www.ivyfunds.com
July Business Services	Heath Stock	800.691.4015 x110	hstock@texaspension.com	www.texaspension.com/solo401k.aspx
L.R. Johnson & Associates	Ronco Johnson, LUTCF	770.321.1337	ronco@lrj-associates.com	www.lrj-associates.com
Lamaute Capital, Inc.	Daniel Lamaute	800.655.5795	n/a	www.investsafe.com
Legg Mason Wood Walker	n/a	800.738.5344	rps@leggmason.com	www.leggmasonretirement.com
LPL Financial	Steve Jackson	866.580.8904	stevejackson@lpl.com	www.LPL.com
Manarin Investment Counsel, Ltd.	Don Davidson	800.397.1167	don@manarin.com	www.manarin.com
Manulife Financial	Brandon Buckingham	800.334.4437	bbuckingham@manulifeusa.com	www.manulifeusa.com
Merrill Lynch	Bryan Hill or Will Geist	800.937.0634	B_Hill@ml.com or William_Geist@ml.com	www.ml.com
MFB Financial	Tom Mohler	317.844.1350	thomas.mohler@mfbbank.com	www.mfbbank.com
Michelle Ogden & Company LLC	Michelle Ogden	407.349.9828	mo@michelleogden.com	www.MichelleOgden.com
Midwest Benefit Consultants	Steven Schoenbrun	847.821.2200 x12	sschoenbrun@mbcltd.net	n/a
Milberg Consulting	Barry R. Milberg	215.793.4300	bmilberg@erisaexpertise.com	www.minikplan.com
Millennium Trust	n/a	800.258.7878	info@mtrustcompany.com	www.mtrustcompany.com
Money Concepts Financial Planning	Glenda L. Allen, CLU, ChFC	813.300.7526	gallen@moneyconcepts.com	www.moneyconcepts.com
Morgan Stanley	Jill Bobigan	800.733.4793	jill.bobigan@Morganstanley.com	www.morganstanley.com

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Mt. Hood Pension Service	Doug Monahan, QPA	503.597.7334	doug@mthoodpension.com	n/a
New York Life	Danielle D. Dupree	703.610.4084	dddupree@ft.newyorklife.com	www.NewYorkLife.com
North Track Funds	Scott Stevens	800.826.4600	n/a	www.ntfunds.com
O'Neill Employee Benefits	Jason Kell, Director	215.657.7400 x113	j.kell@oneillcc.com	www.oneilleb.com
Ohio National Financial Services	Dorie Vest	513.794.6248	dorie_vest@ohionational.com	www.ohionational.com
Olson & Hatcher Financial Advisors	Doug Hatcher, CPA	602.274.2751	Doug@OlsonHatcher.com	www.olsonhatcher.com
Oppenheimer & Co.	Michael Dadich	800.421.4314 x326	michael.dadich@opco.com	www.opco.com
OppenheimerFunds	n/a	800.835.7305	n/a	www.oppenheimerfunds.com
Pacific Life	n/a	800.722.2333 x3939	advmkt@pacificlife.com	www.pacificlife.com
Pathways Financial Partners	Arthur J. Thielen	520.299.5875	athielen@2pathways.com	www.2pathways.com
PENSCO Trust Company	n/a	866.818.4472	takecontrol@penco.com	www.pencotrust.com
Pension Administration and Trust	Howe Woolfolk, Owner	978.356.9004	hwoolfolk@pata-pension.com	www.pata-pension.com
Pension Retirement Online	Raj Pillai, President	877.241.6269	pro@proinc401k.com	www.proinc401k.com
Pioneer Funds	n/a	800.225.6292	n/a	us.pioneerinvestments.com/uni_k/about.jhtml
Principal Financial Group	Elise Pilkington	800.952.3343	Pilkington.Elise@principal.com	www.principal.com
Principal Trust Company	n/a	800.332.4015	contactus@principaltrust.com	www.principaltrust.com
Prudential Securities	David Salvo	212.778.6358	David_Salvo@prusec.com	www.prudential.com
PSA Financial	Steven English	410.821.7766	SEnglish@psafinancial.com	www.psafinancial.com

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Qualified Plan Consultants	Joseph (Bo) Zimmerman	866.785.7775	bzimmerman@qualifiedplanconsultants.com	www.qualifiedplanconsultants.com
Raymond James	Shane Weisman	888.694.401k	Shane.Weisman@RaymondJames.com	www.RJ401k.com
Resource Benefits Administrators	Michelle Parks	800.528.2343	mparks@resourceadmin.com	www.resourceadmin.com
Retirement Advantage	Matt Schoneman	866.269.2710	matt.schoneman@tra401k.com	www.trasolok.com
Retirement Plan Consultants	Sevan Krikorian	847.367.0260	rpc401k@comcast.net	n/a
Revzon Consulting Group	Les Revzon, Principal	877.254.7085	les@revzonconsulting.com	www.revzonconsulting.com
Risk Management Strategies	William J. Finnegan, LUTCF	619.723.1384	bill@rmstrategies.com	n/a
RMGI Financial	Chip Adair	610.621.5777	chipadair@rmgifinancial.com	n/a
Schillo Financial Company	Frank Schillo	805.496.6141	frank@schillofinancial.com	www.schillofinancial.com
Schooner Financial	Melissa R. Gray	860.983.1847	Melissa@SchoonerFinancial.com	www.schoonerfinancial.com
Schwab, Charles	n/a	800.694.9449	n/a	www.schwab.com
Scudder Investments	n/a	800.522.1441	ussinfo2@scudder.com	www.scudder.com
Security Benefit Group	Thomas J. Granger, CLU, REBC, CPC	800.888.2461 x3132	tom.granger@securitybenefit.com	www.securityretirement.com
Seligman Advisors	Carl Faiella	888.597.1553	faiellac@jwseligman.com	www.seligmanretirement.com
Sentinel Benefits	Brandon Echeverria	888.206.5711 x1712	Brandon.Echeverria@sbgi.com	www.sentinelbenefits.com
Sequoia Financial	Jennifer Jewett	480.421.0600	jjewett@fscadvisor.com	n/a
ShareBuilder 401(k)	Bob Weintraub	425.467.7464	robertwe@sharebuilder.com	www.sharebuilder401k.com

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Smith Barney	Russell W. Petrin	303.925.9607	russell.w.petrin@smithbarney.com	www.smithbarney.com
Spectrum Pension	Pano Koumantaros	253.565.2100	pano@spectrumpension.com	www.spectrumpension.com
Sterling Investment Advisors	Sean M. Flatley	877.430.7382 x16	Seanf@sterling-advisors.com	www.sterling-advisors.com
Sterling Trust Company	n/a	800.955.3434 x5	STCServices@uwbank.com	www.SterlingTrustCompany.com
Stone Financial	Delilah Sinek, CPA	714.674.7999	dsinek@finsvcs.com	www.stonefin.net
Summit Trust Company	W. John Dye, CPhD, CTC	970.744.4626	trustcounselor@yahoo.com	www.summittrust.com/dye/index.html
T. Rowe Price	Donna Rowe	800.638.3804	retireplan@troweprice.com	www.troweprice.com/smallbusiness
Tax Sheltered Compensation, Inc.	Keith Collis	800.966.4015	keithc@tsc401k.com	www.tsc401k.com
Touchstone Investments	n/a	800.638.8194	ti-contact@touchstoneinvestments.com	www.touchstoneplans.com
Triangle Solutions, Inc.	Martin D. Jantzen, CPC, QPA	773.472.7000	martin@trianglechicago.com	www.trianglechicago.com
UBS Financial Services	Erik Lawrence	800.245.0900	erik.lawrence@ubs.com	www.ubs.com
Uniglobal Pension	Diana I. Greinr	703.218.5000 x9	DGreiner@uppi.net	www.uppi.net
Union Central	Caren Wiegand	800.825.1551 x2853	cwiegand@unioncentral.com	www.unioncentral.com
Vargo Company, The	John Sample QKA	814.897.1180	jsample@thevargocompany.com	www.thevargocompany.com
Victory Capital Management	Melissa Cowan	800.982.3811 x4-5702	Melissa_Cowan@VictoryConnect.com	www.VictoryConnect.com
Wachovia Securities	David A. Loeffler	866.966.3131	david.loeffler@wachoviasec.com	www.wachoviasec.com
Wayne Hummer Investments	Larry M. Doody	800.621.4477 x599	401k@whummer.com	www.personal401K.com
Wedbush Morgan	Kristin Rathjen,	800.352.3754	Kristin.Rathjen@wedbush.com	www.wedbush.com

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Securities	CPA			
Weiss Group	Adam R. Weiss	847.296.1900 x234	arw@theweissgroup.com	www.theweissgroup.com
YHB Retirement Services	Ron Fishman	800.526.8094	ron@yhbretirement.com	www.yhbretirement.com

**For more information on Individual 401(k) plan, go to this URL:**

[http://www.401khelpcenter.com/cw/cw\\_solo\(k\).html](http://www.401khelpcenter.com/cw/cw_solo(k).html)

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If your firm offers individual 401(k) plan services and you wish to be included in this list, contact 401khelpcenter.com at [info@401khelpcenter.com](mailto:info@401khelpcenter.com)