Retirement Resources Making a Difference

Published Articles, Speaking Engagements and Press

Helping employees achieve greater retirement security
while helping employers manage workload, costs and risk

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Named as delegate to the 2018 NAPA DC Fly-In Forum, July 2018. This is a two day event that allows delegates to interact with key officials who impact retirement plan-related legislation. This year NAPA DC Fly-In Forum delegates heard from Congressman Richie Neal (D-Massachusetts), and Senator Todd Young (R-Indiana), both of which have recently introduced legislation that would impact retirement plans, as well as Assistant Secretary of Labor Preston Rutledge and Securities and Exchange Commissioner Hester Peirce, key figures in recent developments regarding considerations regarding a fiduciary standard. Panel discussions with key Hill staffers shed light on prospects for legislative reforms, and delegates also gained insights on litigation trends and new retirement policy proposals, followed by a dinner keynote address featuring a perspective on the mid-term elections from CNN Chief National Correspondent John King. Jim also met with key staffers in Senator Elizabeth Warren's office to advocate for pending legislation that will improve retirement plan access for American workers.

Served as the Leadership representative on the 2018 NAPA Summit Steering Committee. The Steering Committee plays a key role in setting the agenda and vetting the speakers for the industry's largest gathering of retirement plan-focused advisors. The 2018 Summit attracted over 2200 attendees. Also serving as Leadership representative on the Steering Committee for the 2019 NAPA Summit conference.

Named to "NAPA Top DC Advisor Teams 2017" list. From the Press Release of the National Association of Plan Advisors: "Since their inception, NAPA's various industry lists have been a valuable Who's Who of who matters in the world of retirement plans and retirement plan advisors," noted Nevin Adams, Chief Content Officer of the American Retirement Association, and Editor-in-Chief of NAPA-Net, the nation's leading online resource for retirement plan advisors. "This latest chapter – the NAPA Top DC Advisor Teams, ranked by self-reported DC assets under advisement – presents a compelling case for the impact on the nation's private retirement system. Every team on this list of 275 has in excess of 100,000,000 in DC assets under advisement". "The reality is that advisors are having a huge impact every single day, not only on the quality of retirement plan advice, but in building a more financially secure retirement for millions of Americans," noted Adams. "As the nation's leading voice for retirement plan advisors, we are pleased to highlight the contributions these firms are making in helping building a more financially secure retirement for millions of Americans."

Quoted in "Reviewing Providers: Non-cookie-cutter plans require non-cookie-cutter services", PlanAdviser Magazine July/August 2017

Retirement Resources client, HubSpot, named 2017 Plan Sponsor of the Year Finalist, March 2017

Elected to the Leadership Council of the National Association of Plan Advisors (NAPA), January 2017. "The NAPA Leadership Council is charged with setting the strategic direction and making policy decisions on all matters related to NAPA's mission. The Council is comprised of nine advisors who are voting members and three firm partner representatives who are non-voting members."

Quoted in "Switching Over: How to efficiently convert to a new recordkeeper", PlanSponsor Magazine, June 201

"Maximizing Your Employer Contributions in Plan Design". Jim spoke at the PLANSPONSOR National Conference, Washington, D.C., June 2016

"The Fed isn't responsible for bad policy, the public is", MarketWatch, February 2016

"Use your employer's high-cost 401(k) to your advantage", MarketWatch, December 2015

Member of industry Taskforce developing curriculum to educate financial services professionals on current and impending fiduciary rule requirements and best practices, August 2015

"Is the Department of Labor killing you with kindness?", MarketWatch, July 2015

"Retirement Readiness Metrics: Revealing, Misleading or Both?", NAPAnet Magazine, June 2015

Quoted in "When a Committee of One Runs a 401(k)", PlanAdviser Magazine, May 2015

Quoted in "Investment Committee Solutions for Small Plans", PlanSponsor Magazine, May 2015

Quoted in "Are employer savings on health care being reinvested in retirement plans?", Investment News, April 2015

"401(k) Leadership Award", National Association of Plan Advisors, March 2015

"Objectively, how good is your retirement plan?" Part 2, PlanSponsor Magazine, October 2014

Quoted in "DC plans expected to move slowly on PIMCO", Institutional Investor, Money Management Intelligence, October 2014

Contributor on "The Wallis Report", FOX Business News Channel, September 2014

Quoted in "Retirement plan advisers set to flee Pimco after Gross exit", Reuters, September 2014

"Objectively, how good is your retirement plan?" Part 1, PlanSponsor Magazine, September 2014

"Best Practices: Target-Date Funds May Need a "Warning Label"", PlanSponsor Magazine, August 2014

"Beware of side effects from a target-date fund cure-all", MarketWatch.com, online Wall Street Journal, July 2014

Quoted in "Treasury allows longevity annuities in retirement plans", InvestmentNews, July 2014

"Retirement Plan Communications: Compliance or Greatness?" PlanSponsor, June 2014

"(b)est Practices: What Do You Know About Revenue Sharing?", PlanSponsor, June 2014

"(b)est Practices: Investment Policy Statements", PlanSponsor Magazine, May 2014

"(b)est Practices: Plan-Level Investment Selection/De-Selection", PlanSponsor Magazine, March 2014

"When target-date funds and retirement differ", MarketWatch.com, online Wall Street Journal, January 2014

"Should You Offer Special Education for Sector and Specialty Funds?" PlanAdviser Magazine, January 2014

"Defusing the target-date time bomb", PlanAdviser Magazine, December 2013

"Decoding your 401(k) plan's ridiculous jargon", MarketWatch.com, online Wall Street Journal, November 2013

"A Case Study in Commitment, Persistence and Achievement", Focus on Excellence Series, Defined Contribution Insights, November 2013

"DC Jargon is Contributing to Retirement Savings Crisis", PlanAdviser Magazine, November 2013

"Delegating/outsourcing: When does it make sense?" PlanAdviser Magazine, October 2013

Quoted in "The Best Company Retirement Plans", Wall Street Journal, September 2013 "Jury service can make you a better investor”, MarketWatch.com, online Wall Street Journal, September 2013

“Teaching the Investment Committee: Due diligence best practices and how to train investment committee members. Best practices in investment policy statement (IPS) creation.” Jim spoke at the Plan Advisor National Conference, Orlando, September 2013

“Tracking Time”, PlanAdviser Magazine, August 2013

“Top 100 Retirement Plan Advisers”, PlanAdviser Magazine, August 2013

“Monthly Income Projections: A Well-Intentioned Idea”, PlanAdviser Magazine, July 2013

“401(k)s are not a tax dodge for the rich”, MarketWatch.com, online Wall Street Journal, June 2013

“Lower-Cost Investing: Taking a look at your investment options and their management style. Is passive management or index investing right for you?” Plan Sponsor National Conference, Chicago, June 2013

“Kids in your future? Pre-load your 401(k)”, MarketWatch.com, online Wall Street Journal, May 2013

“Risks gang threatens retirement savings”, MarketWatch.com, online Wall Street Journal, March 2013

“Monkeys, apples and your 401(k)”, MarketWatch.com, online Wall Street Journal, February 2013

“Making the best of a lousy 401(k) plan”, MarketWatch.com, online Wall Street Journal, December 2012

“Dear Congress: Don’t tread on our 401(k)s”, MarketWatch, online Wall Street Journal, November 2012

“Straight tal(k): Fund your 401(k) now”, MarketWatch, online Wall Street Journal, November 2012

“Turn Fee Disclosure Lemons into Lemonade”, PlanSponsor Magazine, June 2012

Quoted in “Target date funds lack alternatives”, Investment News, 4/9/12

“Trends Panel and Leadership Award”, The ASPPA 401(k) Summit, New Orleans, March 2012

“Q&A with Jim Phillips”, National Association of Plan Advisors (NAPA) Newsletter, March 2012

Morningstar & ASPPA 401(k) Advisor Leadership Award Finalists Named, American Society of Pension Professionals and Actuaries (ASPPA) Newsroom, February 2012

“Review Season Approaching. Run Tight Meetings or Run the Risk”, PlanSponsor Magazine (b)lines, January 2012

“Sixteen 403(b) Best Practice Tips: Ignore Them at Your Own Risk”, ASPPA’s 403(b) Advisor, Winter 2012 issue

“Board Member best practices: A “heads-up” regarding the retirement plan responsibility chain”, PlanSponsor Magazine (b)lines, November 2011

“4-0-What? (b)What? Just what we needed, more Erisaglyphics! A plain-language explanation of fee disclosure”, PlanSponsor Magazine (b)lines, October 2011

“Plan advice: All set? Maybe, maybe not! Part 2: The all-important difference between information and advice”, PlanSponsor Magazine (b)lines, September, 2011

“Plan advice: All set? Maybe, maybe not! Part 1: The all-important difference between information and advice”, PlanSponsor Magazine (b)lines, August, 2011

Quoted in: Feature:2011 403(b) Plan Buyer's Guide (August Edition): Casting Call, PlanSponsor Magazine, August 2011

“Communication: Why It’s Really Important, and How to Be Effective”, PlanSponsor Magazine (b)lines, July, 2011

“Building a Great 403(b) Menu: Part 2, the Process”, PlanSponsor Magazine (b)lines, June, 2011

Mentioned in: PSNC 2011: “Best Practices for 403(b) Plans”, by Rebecca Moore, PlanSponsor Magazine, June 2011

“Best Practices for 403(b) Plans: Insights that can help you better manage and administer your 403(b) program”, PlanSponsor National Conference, Chicago, June 2011

“Building a Great 403(b) Menu: Part 1, the Groundwork”, PlanSponsor Magazine (b)lines, May, 2011

“2011 Plan Sponsor of the Year”, Rebecca Moore, PlanSponsor Magazine (b)lines, March, 2011

“Advisors’ Perspectives on the Retirement Plan Market”, 2010 SPARK Forum, Palm Beach, November 2010

“Tools, Tips and Tactics for Advisors”, 2010 SPARK National Conference, Washington, D.C., June 2010 “Making Asset Consolidation Work”, Defined Contribution Insights Magazine, September/October 2009

“Advisors in Transition: Making the Shift to a Fee-Based Model”, 2009 SPARK National Conference, Washington, D.C., June 2009

Contributor to: “Take Control with your 401(k), An Employee’s Guide to Maximizing Your Investments”, David L. Wray, resident, Profit Sharing/401k Council of America, 2007

“A Successful Plan Conversion”, Defined Contribution Insights Magazine, May/June 2007

“Optimizing Your 401(k) Plan”, Defined Contribution Insights Magazine, March/April 2006