



## **BATTLEFIELD FIRE PROTECTION DISTRICT**

4117 W. Second Street  
Battlefield, MO 65619

[www.battlefieldfire.com](http://www.battlefieldfire.com) 

PHONE: (417) 881-9018

FAX: (417) 887-9914



### **REQUEST FOR QUALIFICATIONS FOR**

#### **Section 457(b) Deferred Compensation Plan (RFQ 2026-1) Sealed Proposals should be addressed to: Custodian of Records - Fire District RFO 2026-1. Electronic or faxed proposals will not be accepted.**

In accordance with authorizations provided under Internal Revenue Code (IRC) Section 457, the Battlefield Fire Protection District will accept *sealed* submissions for Battlefield Fire Protection District Employee Deferred Compensation Plan services and management until March 2, 2026 at 4:00pm CST.

The intent of this request for qualifications is to secure competitive services for a 457(b) Employee Deferred Compensation Plan beginning July 1, 2026. The minimum length of the submission for Deferred Compensation Plan services and management shall be three (3) years beginning July 1, 2026, with an option exercisable by the District to renew on the same terms for an additional term of two (2) years. The District may request interviews with prospective vendors.

Sealed submissions will be accepted between the regular business hours of 8:00 am and 4:00 pm, Monday through Friday, at Battlefield Fire Protection District Headquarters, 4117 W. 2<sup>nd</sup> St, Battlefield, MO 65619, until 4:00 pm, on Monday, March 2, 2026, as follows: ***Ten (10) copies of the proposal shall be sealed and delivered to:***

**Battlefield Fire Protection District  
ATTN: Custodian of Records– Fire District RFQ 2026 - 1  
4117 W. Second St., Battlefield, Missouri 65619**

**\* No submission will be considered if received after 4:00 pm, Monday, March 2, 2026.**

**\* No submission will be considered that are not sealed.**

**\* No electronic, facsimile, or phone submissions will be considered.**

The sealed submissions will be opened and the advisor/company name read aloud at 9:00 am, on March 3, 2026. Submissions will be reviewed and awarded at a later date. No vendor may withdraw their submission for a period of sixty (60) days after the date and time set for submission opening.

The District reserves the right to accept the submission which it deems to be in the District's best interest and will not necessarily be bound to accept a submission considered the lowest bid. The District also reserves the right to extend the time to open submissions.

The Battlefield Fire Protection District hereby notifies all vendors that it will affirmatively ensure that in any contract entered pursuant to this advertisement, minority business entities will be afforded full opportunity to submit qualifications in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for award.

**Complete qualification specifications may be obtained at the District's Administrative Offices located at 4117 W. Second St, Battlefield, Missouri, between 8:00 am and 4:00 pm, Monday through Friday or by contacting 417-881-9018, or by email at: sburr@battlefieldfire.com**

#### **DISCLAIMERS AND RESERVATIONS:**

The Battlefield Fire Protection District reserves the right to evaluate each submission to determine the most advantageous to the District and to select the submission which, in the District's sole judgment, best meets its requirements. The evaluation criteria to be applied in awarding the contract used to identify the submission that best meets the public contracting needs may include, but are not limited to costs, quality, service, compatibility, product reliability, operating efficiency and expansion potential. The District reserves the right to reject any and all submissions. This Request for Qualification creates no obligation on the part of the District to award a contract or to compensate any applicant for any costs incurred during qualification presentation, response, submission or oral interviews (if held). Once submitted to the District, submissions cannot be altered and remain the property of the District. The District reserves the right to award a contract based upon submissions received without further discussion or negotiation or to cancel, in part or in its entirety, this request for qualifications, if the District determines that it would be in its best interests to do so.

The laws of the State of Missouri shall govern any contract and the venue of any action brought here under shall be in the Circuit Court, County of Greene, State of Missouri.

Clarification or questions regarding this Request for Qualifications should be addressed to Assistant Chief Steve Burr at the following address: BFPD, 4117 W. 2<sup>nd</sup> St., Battlefield, MO 65619; or, during normal business hours, Monday-Friday, 8:30 am-5:00 pm by Telephone: 417-881-9018; or Email: sburr@battlefieldfire.com

## **GENERAL INSTRUCTIONS AND INFORMATION TO ORGANIZATIONS SUBMITTING SEALED QUALIFICATIONS (VENDORS)**

In submitting qualifications to the District, the vendor hereby agrees to the following provisions and information:

The intent of this request for qualifications is to secure competitive services for a Section 457(b) Deferred Compensation Plan management beginning July 1, 2026. The minimum length of the qualifications for the requested services shall be three (3) years beginning July 1, 2026, with an option exercisable by the District to renew on the same terms for an additional term of two (2) years. The District may request interviews with prospective vendors.

Sealed submissions will be accepted between the regular business hours of 8:00 am and 4:00 pm, Monday through Friday, at Battlefield Fire Protection District Headquarters, 4117 W. 2<sup>nd</sup> St., Battlefield, MO 65619, until 4:00 pm, on Monday, March 2, 2026, as follows: *Ten (10) copies of the submission shall be sealed and delivered to:*

**Battlefield Fire Protection District  
ATTN: Custodian of Record– Fire District RFQ 2026 - 1  
4117 W. 2<sup>nd</sup> St., Battlefield, MO 65619**

**\* No Bids will be considered if received after 4:00 p.m., Monday, March 2, 2026.**

**\* No Bids will be considered that are not sealed.**

**\* No electronic, facsimile, or phone proposals will be considered.**

**NOTE: All responses given to the complete qualifications specifications must indicate the corresponding item number(s) they are in response to.**

**Respondents are asked to respond to all items (negative response required).**

### **Intent**

Pursuant to the authorizations under IRC 457, the Battlefield Fire Protection District is requesting qualifications for Section 457(B) Deferred Compensation Plan services and management.

### **Background**

The Battlefield Fire Protection District is located in Greene County, Missouri. The District's current 457(b) deferred compensation plan is funded through voluntarily contributions from employees without matching contributions from the District. The District currently has 52 employees.

### **I. Qualifications**

#### **A. Contents:**

- 1) Provide a brief history of your firm, including the years in the financial planning business, growth of agency, business growth and retention and anything that makes your agency unique. Include your agency's customer service philosophy and management style.

- 2) List the name, title, mailing address, telephone number, facsimile number, and e-mail address of the contact person for this proposal.
- 3) Provide the name(s) of the agent/broker(s) to perform the work for the District, years of experience they have with each product and a brief statement as to why each agent/broker(s) is qualified to provide services to the District. Identify the area(s) of expertise for each consultant and the number of other clients they will be serving.
- 4) Confirm that you possess applicable licenses in Missouri and provide license documentation.
- 5) Have you recently had or do you anticipate any mergers, transfer of company ownership, sales management reorganizations, or departure of key personnel within the next three years that might affect your ability to carry out your commitment to the Battlefield Fire Protection District.
- 6) Have you or any member of your team been involved in litigation within the last five years arising out of your performance as a consultant or broker? If the answer is yes, please explain fully.
- 7) Do you require a service agreement? If yes, please provide a copy of your agreement.
- 8) If you are an independent broker, list all your affiliations with financial plan services providers.
- 9) Please describe your vision of the relationship with the District in being an agent/broker for the District.
- 10) Detail the scope of services your agency would offer and how your firm would accomplish the work described. The services desired by the District includes but is not limited to the following:
  - a. A diverse and competitive investment fund lineup at a reasonable cost;
  - b. Robust online transaction and information capabilities accessible by employees;
  - c. Participant education and communication of services to promote knowledgeable investment;
  - d. A sound platform for encouraging growth of participation in the 457(b) plan and high levels of contributions consistent with the participant's financial abilities and total financial objectives;
  - e. Plan for an orderly and timely transition of assets and services, if and as necessary.
  - f. Fiduciary responsibility for the plan resides with the vendor/plan manager and not with Battlefield Fire Protection District elected, appointed, or employed members.
- 11) Outline your ability to provide expertise and experience in the areas of financial plan management. Detail your ability to advise employees on financial planning and investment strategies. Give examples of work with other local government agencies, similar in size to the District, and the result of that effort. Also include your philosophy regarding recommending investments strategies based on market trends.
- 12) List five current clients of your choice and all public safety clients that you currently serve or have served in the past. For each of the clients for whom you provide services related to financial planning, list specifically the type of work

performed by your agency, the size of the client group and the period of time retained as a client. For each client, include the name, title, address, phone number of a contact person who the District may contact as a reference. In addition, please provide two references who are no longer your clients that the District can contact for references.

- 13) Do you publish newsletters and other informative publications that you routinely provide to your clients? Have you prepared reviews of topics related to financial planning that are routinely provided to your clients? Provide sample copies.
- 14) Please describe your working relationship with financial plan providers licensed in Missouri. Are there existing or potential relationships between your agency and financial plan providers who may be considered by the District that could lessen your independence and objectivity because of a perceived or actual conflict of interest?
- 15) Do you hold a special level of recognition with any of these financial plan providers? If so, what is the designation? How many clients do you currently have with each of the different carriers?
- 16) Please describe your agency's marketing philosophy regarding your negotiation with and recommendation of financial plans.
- 17) Please describe your agency's philosophy regarding individual versus group plan management.
- 18) Please indicate any other services, capabilities, designations, or experience that differentiates your organization from competition.
- 19) Describe the technology utilized to enroll employees and families in the chosen plan.
- 20) Please explain your agency's training strategy to ensure that the latest and most accurate information is conveyed to your customers, especially the changes that are being brought on to the market or regulatory agencies.
- 21) Explain your agency's philosophy on keeping the District informed about changes in deferred compensation plan laws and regulations and how you will help the District maintain compliance.
- 22) Please describe to what extent you are willing to be involved in resolving problems between District employees and contracted plans.
- 23) Ten (10) copies of the qualifications shall be sealed and submitted with the name and telephone number of the principal person involved.

## **B. Brokerage Compensation**

Please outline in complete detail how the broker/agent will be compensated, now and in the future including any and all fees, commissions, contingent commissions, preferential commission arrangements, overrides, and/or bonuses. Please note that the District will require *complete* disclosure of any and all fees, commissions, contingent commissions, preferential commission arrangements, overrides, and/or bonuses your agency receives each year as a result of your work on its behalf. Further the District reserves the right to contact each carrier or organization to obtain this information annually. Therefore, the broker/agent will be required to provide written consent to the District so that it may obtain this information, if necessary.

## **C. Project Management**

Please describe how Battlefield Fire Protection District's account would be managed by your agency. If different people/departments would manage different aspects, please explain, and identify.

#### **D. Selection of Vendor/Plan Manager**

Qualifications will be evaluated by the District, which reserves the right to reject any or all submissions received. The following will serve as the basic criteria for the selection of the vendor/plan manager eventually selected. The top submissions received will be interviewed by the District. The selection will be made based on qualifications and interviews.

- a. Understanding of the work required by the District as evidenced by the submission and the ability of the agency to commence work in a timely manner.
- b. Accuracy of information and completeness of proposal will be critical. c. The qualifications of the responding agency/broker agency.
- d. The scope of services offered, including ability to review portfolios as needed, amending policies as needed, advising District on trends, periodically making objective reviews of the District plan, ability to work with the District's administration and providing consumer education for plan members.
- e. Ability to work with and maintain a relationship with, as well as, access to financial plan providers.
- f. Compensation disclosures

#### **E. Job Description**

##### Statement of Duties

The broker/plan manager will be responsible for managing all aspects of the 457(b) Deferred Compensation Plan except those aspects required by state/federal law or regulation to be managed by the District. In addition, the broker/plan manager will be responsible for communicating with participating employees regarding their individual portfolios and investments related to the plan.

##### Supervision Received

The District will be the direct supervisor of the broker/plan manager and the primary contact for any 457(b) Deferred Compensation Plan related matters.

##### Information Available

Any information deemed by the District to be relevant and available to the 457(b) deferred compensation plan shall be made available to the broker/plan manager.

##### Examples of Duties Performed

The broker/plan manager duties will include, but not be limited to the following:

1. Recordkeeping and Administration
  - a. Processing payroll deductions on a recurring basis (semi-monthly or biweekly) and participant transactions on a daily basis.

- b. Internet services must include data encryption and a secured method for District and/or authorized agents to submit/receive payroll data, view participant demographic information, and view plan activity.
- 2. Employee Communication/Education and Tools
  - a. Employee access to plan information, and investment and retirement models via secure internet website and through call center interactions.
  - b. Employee communication and investment education programs, supported by customer service representatives and comprehensive Internet services, that provide participants with interactive financial and retirement planning tools and software.
- 3. Trustee/Custodial Compliance
- 4. Investment Management/Investment Options
  - a. Third party access or directed brokerage.
  - b. Investment advisory or managed accounts.
  - c. Cash management products.
- 5. Employer Education and Compliance
  - a. Transmission and receipt of contribution/payroll files
  - b. User-friendly plan management website services.
  - c. Plan compliance with current and future regulatory requirements including any participant notifications.
  - d. Providing documentation for the annual plan audit.
- 6. Implementation/Transition

**F. Additional Notifications**

All information and material submitted with the submission shall become part of any contract which results from this process. All submitted information and materials will be considered accurate and complete by the Battlefield Fire Protection District and relied upon in making the selection of the broker/plan manager.