

# Plan Sponsor Services Checklist



		Our Services	Other Provider
<b>1</b>	<b>Plan Design &amp; Documentation</b>		
	Plan Design Consulting Services	✓	<input type="checkbox"/>
	Prototype & Volume Submitter Plan Documents	✓	<input type="checkbox"/>
	Will Accept Outside Plan Documents	✓	<input type="checkbox"/>
	Summary Plan Description	✓	<input type="checkbox"/>
	Sample Black Out Notice	✓	<input type="checkbox"/>
	Sample Investment Policy Statement	✓	<input type="checkbox"/>
	Full Fee Disclosure	✓	<input type="checkbox"/>
<b>2</b>	<b>Recordkeeping &amp; Administration</b>		
	Provide Daily Valuation	✓	<input type="checkbox"/>
	Same Day Late Settlement of Funds	✓	<input type="checkbox"/>
	Complete Administrative Forms	✓	<input type="checkbox"/>
	Sponsor & Participant Services Representatives	✓	<input type="checkbox"/>
	Provide Plan Sponsor Administrative Manual		<input type="checkbox"/>
<b>3</b>	<b>Reporting</b>		
	Prepare Signature-ready 5500	✓	<input type="checkbox"/>
	Provide Summary Annual Report (SAR)	✓	<input type="checkbox"/>
	Issue Form 1099-Rs	✓	<input type="checkbox"/>
	Provide Monthly/Quarterly Trust Accounting Reports	✓	<input type="checkbox"/>
<b>4</b>	<b>Compliance Services</b>		
	HCE Determination	✓	<input type="checkbox"/>
	Interim & Year-end Section 401(k) ADP and Section 401(m) ACP Testing	✓	<input type="checkbox"/>
	Calculate ADP/ACP and/or 415 Refunds	✓	<input type="checkbox"/>
	Monitor Section 415	✓	<input type="checkbox"/>
	Top-heavy Testing	✓	<input type="checkbox"/>
	Monitor Section 402(g) and 401(a)(17)	✓	<input type="checkbox"/>
<b>5</b>	<b>Online Access Features</b>		
	Participant Account Access and Management	✓	<input type="checkbox"/>
	> Online Enrollment	✓	<input type="checkbox"/>
	> Education (Calculators/Research/Articles/FAQs/Glossary)	✓	<input type="checkbox"/>
	> Fund Descriptions/Prospectuses	✓	<input type="checkbox"/>
	> Activity Statements and Administration Forms	✓	<input type="checkbox"/>
	> Loan & Distribution Processing	✓	<input type="checkbox"/>
	Plan Sponsor Access and Management	✓	<input type="checkbox"/>
	> Employee Census	✓	<input type="checkbox"/>
	> Plan Reports and Statements	✓	<input type="checkbox"/>
	> Contribution/Distribution/Loan Processing	✓	<input type="checkbox"/>
> Plan Messaging System	✓	<input type="checkbox"/>	
<b>6</b>	<b>Comprehensive Communications</b>		
	Plan Notification Kit	✓	<input type="checkbox"/>
	Enrollment Guides	✓	<input type="checkbox"/>
	Enrollment Meeting Slide Presentation	✓	<input type="checkbox"/>
	Quarterly Statements Directly to Participants' Homes	✓	<input type="checkbox"/>