PLAN DOCUMENTS

DATA

DC/DB VALUATION

DATA

COMPLIANCE

DATA

5500s

DATA

WEB PORTALS

DATA

CRM & TASK TRACKING

DATA

ASC

Actuarial Systems Corporation

Partnering For Your Success

Retirement Plan Software, Documents & 5500 Forms
www.asc-net.com

Welcome to ASC

Your Success is Our Focus

ASC

Actuarial Systems Corporation

WELCOME TO ASC

Your success is our success. Since our founding in 1981 we are committed to helping you, the retirement plan professional, increase your efficiency and profitability. This focus on you has made ASC a leader in the industry.
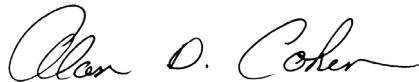
Our strategy to help you includes:

1. Providing software and internet applications that leverage technology in ways that significantly improve your bottom line productivity and profitability.

2. Employing a Customer Support Team who speaks your language. Every ASC Support Team member is a retirement plan industry professional, most of whom have over 20 years of industry experience.

3. Maintaining a stable, privately held ownership/management team comprised only of seasoned pension industry professionals.

Choosing a pension software company is not a decision to take lightly. We understand that. The goal of this brochure is to provide you with a broad, yet quick overview of ASC's team and products. For additional information, refer to the relevant product sheets in the brochure pockets or call an ASC representative.

We encourage you to learn more about ASC, discover for yourself why ASC is the system of choice for a growing number of pension professionals, and join our team of very satisfied customers.

Sincerely,

Alan Cohen
Founder & Chairman of the Board

Alan Gould
President

HISTORY OF ASC

CONSISTENT AND STRONG MANAGEMENT SINCE 1981

Over 35 years ago, Alan Cohen founded ASC with one customer, his own TPA firm. Today ASC is a large, multi-division corporation with the depth and breadth of expertise that gives ASC clients unmatched technology and customer support. ASC's five main divisions: Development, Support, ERISA Legal, Marketing & Operations, and Corporate are headed and staffed by outstanding professionals in their respective fields including: ERISA attorneys, actuaries, software engineers, programmers and a Support Team comprised exclusively of seasoned pension professionals.

ALAN COHEN, FOUNDER

In the 1970's, Alan Cohen owned and ran a third party administration firm with 65 administrators and over 1,000 corporate clients. Alan saw within his own TPA firm that cutting-edge technology creates significant jumps in productivity and profitability. Inspired by the advances in technology, Alan decided to found a software company specializing in products for pension professionals. In 1981, the doors of ASC officially opened.

ALAN GOULD, PRESIDENT

In 1983, Alan Cohen brought in retirement plan industry and technology expert, Alan Gould, as his partner. Since then, Alan Gould has navigated ASC through the various technology changes in ways that are seamless to ASC clients.

JOHN GRIFFIN, J.D., LL.M.

John Griffin is a Principal of The ASC Institute, a subsidiary of ASC. Before joining ASC, John authored plan documents for over two decades and prior to that spent years on the regulatory side with the Internal Revenue Service and Department of Labor. Today, John leads the ERISA Legal Department which is comprised of a team of ERISA attorneys and pension industry accredited professionals. The ERISA Legal Department oversees the on-going development of the ERISA Plan Documents for ASC's Document Generation and Management System and the ERISA Education and Consulting Division.

MOVING FORWARD

Stability of ownership, specifically keeping ASC privately held, is a priority. As a privately held, unencumbered organization, ASC can consistently respond quickly to regulatory and technology changes while maintaining a long term and customer-centric view of product development.

ASC'S SUITE OF INTEGRATED PRODUCTS

PLAN DOCUMENTS

ASC's Document Generation and Management (DGEM) system provides an automated approach to creating, managing and delivering customized prototype/volume submitter documents, SPDs, plan amendments and administrative forms to your clients. Documents are drafted and supported by a team of in-house ERISA experts, led by John Griffin, J.D., LL.M. Our user-friendly system is designed with built-in default provisions and comprehensive validation checks in addition to integrating seamlessly with ASC's Valuation, 5500 and Client and Task Tracking Systems. Our system includes the ability to generate customized searches of plan provisions, flexible delivery options, and publishing documents directly to ASC's Gemini Plan Sponsor Web Portal. Creating and maintaining plan documents has never been quicker, easier or more convenient.

DC / DB VALUATION

Developed by actuaries for actuaries & non-actuaries, we built and maintain ASC's DC and DB Valuation & Administration Systems such that you can easily and efficiently design and process virtually any retirement plan, from the simplest Profit Sharing to the most complex 401(k). ASC is committed to developing and maintaining the highest quality Valuation Systems which values and tests all types of defined benefit plans including those with ancillary benefits. Work smarter, not harder with ASC's DC/DB Valuation Systems!

COMPLIANCE

ASC is unquestionably the pension industry's leader in compliance testing – with approximately half of the 401(k) accounts in the United States tested on the ASC system. It is in use by the majority of the largest investment firms, mutual fund families and insurance companies in the nation. The Compliance Testing System handles both small and large plans, combining speed with sophisticated results. Professionals and consultants are able to design the most complex and flexible plans for their clients knowing that they can cost effectively administer them year after year. The Compliance Testing System is included with ASC's DC/401(k) package or available as an independent system for use with any other recordkeeping system.

5500s

Maximize your e-filing efficiency! Create 5500 and other forms more quickly and efficiently with our fully web-based system. Quickly produce DOL/IRS Form 5500 and associated schedules, Form 8955-SSA, Summary Annual Reports (SAR) and other related forms (Form 5558). The system includes one-click batch invite signer emails, automatic reminders and a user friendly submission process. Our 5500 forms are compliant with IRS EFAST2 requirements and integrate with other ASC Systems, eliminating redundant data entry and reducing the risk of human error.

PLAN SPONSOR CONNECT

Streamline and simplify your data collection via ASC's modern, fully hosted web portal. Now your employee census collection can be easier and more efficient then ever, for you and your plan sponsors. Using our secure portal, you can share files with your plan sponsors, track progress, send updates and more. Your data collection is consolidated in one place. You'll know your plan sponsors' status in the collection process before they submit it to you. You can customize your Plan Questionnaires and Census pages by Plan!

CRM*W* & TASK TRACKING: CATTS & PENSION*PAL*®

Choose a tracking system to keep ALL your client data in one place and at your fingertips. CATTS (Client & Task Tracking System) is a web-based system with a heavy focus on integration with our industry acclaimed Document Generation & Management System (DGEM). The "real-time" data flow gives you the ability to see a comprehensive picture of your clients, contacts and plan information. Pension*Pal*, a premise-based system, stores your client, contact, and plan data in a central location and offers additional flexibility such as customizable dashboards, sales tracking, an Outlook plugin, integration with other systems, detailed workflow and employee task management. A secure file web portal option is also available.

ERISA EDUCATION & COMPLIANCE AUTOMATION TOOLS

ERISA CONSULTING AND CONTINUING EDUCATION

ERISA Training
A team of in-house attorneys led by John Griffin, J.D., LL.M. provide webcasts that qualify for continuing education credit and keep you current with the ever-changing pension law. Additionally, they provide ERISA consulting and training either by phone, online or at your location, whichever is more convenient for you.

Silver Consulting Subscription Service
Affordable regulatory expertise is at your fingertips. ERISA experts help answer the regulatory questions which arise in your day-to-day retirement plan practice. You can budget a small monthly amount for consulting expenses and receive e-mail access to the consulting team, led by John Griffin, J.D., LL.M.

ASC COMPLIANCE SYSTEM AUTOMATION TOOLS
To enhance your compliance system, the following automation tools are available:

ASC DRIVE – Plan Sponsor Driven Testing
ASC Drive is the next generation in automation allowing Plan Sponsors to initiate and drive their own testing online, with your Compliance Experts available to help along the way. Plan Sponsors submit and review year end data, initiate the Compliance Testing process and make decisions in real time regarding failed testing. Your Compliance Team is able to set when the plan is in their control, or the control of the Plan Sponsor, allowing for intervention when needed. The Dashboard monitors all plans in the process, providing aging and completion metrics to help you manage your workload.

Single Step Processing (SSP)
Using ASC's sophisticated scripting language, SSP can run a single compliance test or a series of tests on multiple plans without user interaction, as well as perform other tasks that would otherwise be done manually by staff. The importing of data, including participant data from outside recordkeepers, as well as running calculations and report generation, can be automated. Additionally, SSP can be scheduled to run during off hours, freeing up server resources. SSP allows your consultants to focus on value-added services for your Plan Sponsors, rather than complete routine tasks.

Money Manager Link (MML)
MML provides an automated link between your recordkeeping system and the ASC testing system. This enables plan and employee data to pass seamlessly from MML into the ASC database, eliminating manual data entry. Additionally, MML provides for the transmission of test results back to your recordkeeping system, allowing plan and participant data to be imported via an unattended mode.

CUSTOMER SUPPORT

ALL SUPPORT TEAM MEMBERS ARE SYSTEMS EXPERTS AND RETIREMENT PLAN PROFESSIONALS

- All have over 10 years "real life" industry experience in a wide range of plans and administrative areas
- Support Team personnel are members of professional societies such as ASPPA, SPARK, JBEA, ACOPA, SOA & NIPA
- Full-time Enrolled Actuaries, ERISA Attorneys and Certified Pension Consultants on staff

LIVE WEBCASTS are offered regularly to keep you updated on system enhancements and regulatory changes

24/7 SUPPORT
via ASC's Online Client Support Center

✔ Submit questions 24/7
✔ Comprehensive FAQ's
✔ Pre-recorded web seminars to train new users
✔ Download software updates & training manuals

LIVE SUPPORT every workday from 8am-8pm ET

Support Team Members hold active accreditation from **ASPPA, SPARK, JBEA, ACOPA, SOA & NIPA**

✔ ERISA Attorneys
✔ Actuaries
✔ Product Experts with Pension Industry experience

SUPPORT OFFICES located throughout the United States

WHY CHOOSE ASC

Approximately **50%** of all 401(k) participant accounts are run on an ASC System*

*Based on DOL Sept. 14, 2014 report: "Abstract of 2011 Forms 5500 Annual Reports"
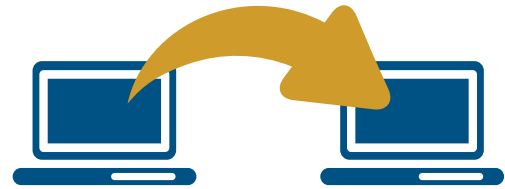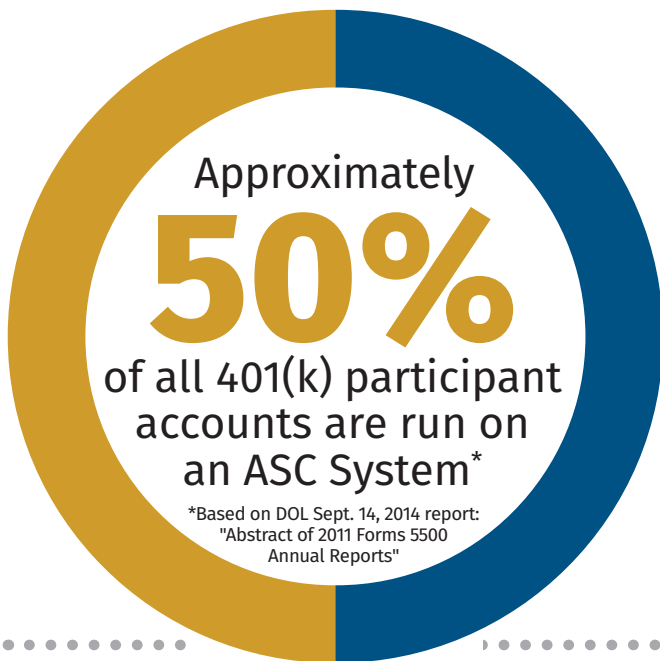
Ability to convert data from other systems

Comprehensive training including online & onsite seminars

Data sharing among ASC's Integrated Systems:
- Reduces errors
- Increases efficiency
- Minimizes duplicate data entry

Complete on-line context-sensitive help

No separate database server required

Extensive plan size capacity

Easy access to ASC software from remote and/or multiple locations (Terminal Server option)

98% of ASC clients rave about ASC Support

✓ Automated Compliance Testing

✓ Automated batch find of plan type

✓ Batch Processing for Plan Amendments and Annual Notices

✓ Automated processing of forms

✓ Delivery of documents via E-mail, Portal, or eSignature Formats

✓ Comprehensive CRM*W* & Task Tracking Systems

Thank you for taking time to learn about ASC.
We encourage you to contact an ASC Representative today!

BOOST YOUR EFFICIENCY WITH ASC'S DC/401(k) SOFTWARE

- Easily process plans from the simplest profit sharing to the most complex 401(k) with ASC
- Avoid discrepancies between plan administration and the corresponding plan document utilizing ASC's integrated systems
- Get accurate answers fast; our Support Team speaks your language because everyone was an administrator before joining ASC

PLANS INCLUDE:

- 401(k)
- New Comparability / Cross-Tested
- DB/DC Combo Plans
- Profit Sharing
- ESOP & KSOP
- Money Purchase Pension

THE SYSTEM INCLUDES:

- Comprehensive administration
- Recordkeeping
- Industry-leading compliance testing

Avoid the #1 error in the retirement plan industry: Discrepancies between a Plan's Operation and its Document.

Integration of ASC's DC/401(k) Software and Plan Documents ensures consistency!

EXAMPLES OF HOW WE IMPROVE YOUR EFFICIENCY:

- Handles all 401(k), Profit Sharing and Money Purchase Plans
- Fully updated for all legislative changes
- Full 401(a)(4) Testing / Design Module
- Reports: generate standard and custom reports via the ASC Report-Writer
- Flexible eligibility calculations
- Easy data import/export/edit wizards with grids to quickly manipulate or view data
- Comprehensive data checks
- DB/DC combo reporting
- Extensive 401(a)(4) group definitions
- Multiple Funds and Sources
- Built in budget solving routines for new comparability, integrated, age-weighted and sole proprietor/partnership plans
- Calculates various employer contributions for 401(k) and other defined contribution plans
- Performs extensive employee data validation in one step including ability for custom data validation formulas
- Ability to accommodate recordkeeping and compliance for controlled groups, MEPs and PEPs
- Accounting can be performed in shares or dollars on a fund by fund basis
- Includes utilities for streamlined integration within the ASC suite of systems
- Single-Step Processing automation tool available: administrative functions can be automated and scheduled to run on multiple plans

RECORDKEEPING PARTNERS

ASC's System offers streamlined import of plan data from top recordkeeping providers.
These financial imports, combined with employer provided census data, enable you to perform the following tasks:

- Combine with outside assets or employer stock and produce a combined employee statement
- Adjust from cash basis to accrual basis and produce an annual recap
- Audit the deferrals and match, comparing contributed amounts and calculated amounts
- Provide accurate earnings on refunds from failed compliance tests

SOME OF ASC'S OUTSOURCING PROVIDER LINKS

ascensus®   EMPOWER RETIREMENT™   John Hancock   Nationwide   ONEAMERICA®   T.Rowe Price®

TRANSAMERICA®   CAPITAL GROUP® | AMERICAN FUNDS®   Lincoln Financial Group®   Principal℠   TheStandard™   VOYA FINANCIAL®

BALANCE FORWARD RECORDKEEPING

In ASC's traditional balance forward recordkeeping system plan assets can be valued on an annual, semi-annual, quarterly, or monthly basis; tracking monies in a single pooled fund or in multiple funds. Earnings allocation methods, including prior balance and time weighted, can be applied separately to certain funds or groups of participants, either in shares or dollars.

INCREASE YOUR EFFICIENCY WITH OUR DEFINED BENEFIT SYSTEM

The ASC DB Valuation System administers, values and tests all types of defined benefit plans including cash balance, DB/DC combo plans and plans with ancillary benefits.

How does the powerful and flexible DB System increase your efficiency?

- Continuously enhanced since 1981
- Supported by full-time, on-staff, credentialed actuaries
- Integrates with ASC's DGEM Documents, DGEM 5500 for Schedule SB and PBGC filings (including one-step generation of required SB attachments printed separately), Client & Task Tracking System, and Pension*Pal*
- Handles traditional, multiple formula, hybrid, DB/DC combo, fresh-start, and pre-PPA plans
- Cash balance plans with multiple formula options for multiple groups and meaningful benefit determination
- Floor Offset arrangements with DC plans on ASC or outside ASC
- Multiple decrement funding with sample life output
- PPA funding (including MAP-21, HATFA, and ARPA 2021) with lump sum and subsidized early retirement options
- Minimum funding contribution requirements, including quarterly contributions and applicable penalty interest, with the ability to solve for the final contribution amount based on the date of deposit
- AFTAP certification report
- IRC §401(a)(26) Minimum Participation, IRC §410(b) Minimum Coverage, and IRC §416 Top Heavy tests
- IRC §401(a)(4) testing on standalone DB and DB/DC combo plans including rate banding option
- Budget routine including calculation of self-employment taxes for unincorporated entities
- FAS/ASC-715 valuations and reports
- Determines eligibility, vesting, individual costs and maintains robust employee history records
- PPA valuation reports with customizable ASOP 51 and disclosure features. ASOP 41 certifications for one or two actuaries from system database of up to 15 actuaries
- Short plan year calculations and reporting
- PPA proposal reports for cash balance, traditional and DB/DC combo plans
- Budget solver and proposal reporting for new Cash Balance/ DC combo plans
- Access to custom report writer
- Employee reports including benefit statements (individual and combined plan) and individual calculation check reports
- Participant termination program with lump sum and other optional forms plus PBGC Notice of Plan Benefits
- Programmed for 1-D and 2-D generational mortality projections

THE BEST COMPLIANCE TESTING SYSTEM IN THE INDUSTRY

- Handles the most complicated plan scenarios and provides a complete illustration
- Saves your team time because administrators no longer have to "go outside the system" to perform these difficult tests
- Frees you to design the more complex and flexible plans
- Provides you with confidence to cost-effectively administer even complex plans year after year
- The top financial firms in the country have chosen ASC
- Handles both small and large plans, combining speed with sophisticated results
- Included with ASC's DC/401(k) package and available as an independent system to use with any other recordkeeping system

Approximately 50% of all 401(k) accounts are tested on the ASC Compliance System*

*Based on DOL Reports

SOME EXAMPLES OF HOW ASC COMPLIANCE TESTING WILL INCREASE YOUR EFFICIENCY

- Eliminates time consuming reruns and data manipulations by generating multiple corrections or solutions for failed ADP/ACP tests
- All tests can be performed on multiple plans or locations
- PEO/MEP/PEP Plan Testing
- Determines Eligibility, Key EE and HCE
- 410(b) ratio percentage and average benefits tests
- 401(a)(4) non-discrimination test
- Run ADP and ACP tests at any time with or without projections
- Interfaces with any recordkeeping system and can include data from multiple plans or plans not on the ASC Compliance System
- Interactive or high-volume batch processing (SSP)
- Performs required tests on multiple plans with user-specified aggregation or disaggregation
- Calculates failed test refunds with attributable match and/or various QNEC/QMAC solutions
- ASC provides a "Side by Side comparison" of various types of Employer Profit Sharing allocations.
- The system offers Auto Enrollment forecasting utility
- Performs matching calculations and produces variance reports

- 402(g) deferral, 415 Limit, and Plan Limit testing with corrective solutions
- 416 top heavy test
- 414(s) non-discrimination compensation testing
- Catch-up Summary
- Puerto Rico Test
- Non-qualified Plan Testing
- Benefits Rights & Features Testing
- Test Results Summary Report
- Reconciliation Report
- 401(A)(4)Cross-Testing

Integrates with ASC Plan Documents so you avoid discrepancies

CROSS-TESTING WITH BUDGET SOLVING

The 401(a)(4) Testing Module is for Cross-Testing and / or designing new comparability plans. Functionality incorporates extensive rate calculation methods, including annual accrual, accrued-to-date and permitted disparity, as well as multiple 401(a)(4) group definitions, and an option to disaggregate those participants who have not met the statutory eligibility requirements.

The Budget Solving Routine includes the calculations necessary for determining estimated self-employment taxes and adjusted income for Keogh/Sole Proprietor and Partnership Plans. The Budget-Solving Routine also has a feature for DC/DB Combo plans.

SAVE TIME AND CREATE EFFICIENCIES BY AUTOMATING ADMINISTRATIVE PROCESSES!

SINGLE-STEP PROCESSING

With minimal setup, administrators can run a series of compliance tests or other administrative functions on one plan or multiple plans without user interaction. Compliance tests can be run, the results accumulated and printed without users setting up each test and opening and closing each plan.
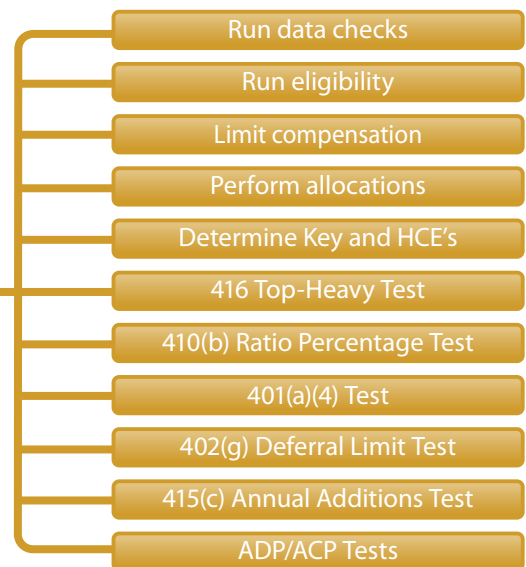
Additional tasks can be automated including:

Benefit statement preparation, running calculations, performing employee data checks, printing non-compliance reports and processing transactions.
SSP utilizes ASC's sophisticated scripting language to automate tasks on multiple plans that would otherwise be manually performed by individual users. Administrators can even design specific times for SSP to run, allowing processing to take place during off hours when the office is closed.

SSP creating efficiencies:

- Overnight processing saves time and server resources during working hours
- Uniform automation creates standard processes and procedures
- Automation helps to reduce human error
- Standard processes help identify non-standard plans to evaluate case assignments or even internal pricing structure
- Leverage technlgy to maximize in-house staff expertise

Example of the steps SSP could perform on a group of plans

| Run data checks |
| Run eligibility |
| Limit compensation |
| Perform allocations |
| Determine Key and HCE's |
| 416 Top-Heavy Test |
| 410(b) Ratio Percentage Test |
| 401(a)(4) Test |
| 402(g) Deferral Limit Test |
| 415(c) Annual Additions Test |
| ADP/ACP Tests |

MONEY MANAGER LINK (MML)

For clients who use a non-ASC recordkeeping system, a key element to the ASC Compliance Testing System is Money Manager Link (MML). MML provides an automated link between your recordkeeping system and the ASC testing system. This enables plan and employee data to pass seamlessly from MML into the ASC database – eliminating the need for manual data entry. Additionally, MML provides for the transmission of test results back to your recordkeeping system. Large volumes of plan and participant data can be imported via an unattended mode.

ASC DRIVE – PLAN SPONSOR DRIVEN TESTING

ASC Drive is the next generation in automation allowing Plan Sponsors to initiate and drive their own testing online, with your Compliance Experts available to help along the way. Plan Sponsors submit and review year end data, initiate the Compliance Testing process and make decisions in real time regarding failed testing. Your Compliance Team is able to set when the plan is in their control, or the control of the Plan Sponsor, allowing intervention when needed.

BOOST YOUR EFFICIENCY

Keep your documents organized and updated using our web-based platform.

- Manage plan documents & 5500s on one screen
- Keep track of document history and status
- Checklist format enables fast & accurate document creation
- One-click data validation
- Clear navigation of plan provisions
- Documents are drafted and supported by ASC's In-house ERISA Attorneys & Experts

CREATE VIRTUALLY ANY PLAN TYPE WITH EASE

- Pre-approved DC, DB, CB and 403(b) documents
- Individually designed 457(b) Governmental and Tax-Exempt Documents
- Multiple Employer Plan (MEP) and Pooled Employer Plan (PEP) processing feature provides maximum plan design flexibility, including custom SPDs
- Restate or modify all your plan documents in batch
- Flexible document delivery options include: print, email, publish to Plan Sponsor Connect, send for E-sign
- One-click document delivery package - including customizable cover letters

SAVE TIME & REDUCE ERRORS

- Batch generate annual notices, pre-populated forms and interim amendments
- E-Signature functionality with auto-tracking via Adobe Acrobat Sign®
- Flexible API & Custom Admin Docs available to add to your DGEM Platform

PLAN DOCUMENTS WE OFFER

Cycle 3 Defined Contribution Plans:

- Profit Sharing/401(k) – Standardized (Full or Collapsed AAs)
- Profit Sharing/401(k) – (Full or Collapsed AAs)*
- Owners Only 401(k)*
- Money Purchase Pension*
- Governmental Profit Sharing/Grandfathered 401(k)*
- Governmental Money Purchase*
- ESOP/KSOP (Leveraged & Nonleveraged)*
- Non-electing Church Profit Sharing/401(k)*
- Non-electing Church Money Purchase Pension*
Nonstandardized

Cycle 3 Defined Benefit & Cash Balance Plans:

- Defined Benefit (Integrated & Non-integrated)*
- Cash Balance*
- Governmental with Cash Balance provisions*
Nonstandardized

More than 150,000 plans utilize an ASC plan document!

Pre-Approved 403(b) Plans*:

- 501(c)(3)
- Salary Reduction Only
- Governmental
- Non-electing Church
  (without Retirement Income Accounts)
- Retirement Income Account Church
Volume submitter

Coming Soon: Cycle 2 Pre-Approved 403(b) Plans!

Individually Designed Plans:

- 457(b) Governmental Plan
- 457(b) Tax Exempt Plan

ASC's plan documents are drafted by ASC's team of ERISA experts led by John Griffin, J.D., LL.M. who has over 35 years of industry experience

John Griffin
J.D., LL.M.

Dawn Johnson
CRSP

Andrea Gelhar
ERPA, QPA

Megan Lewis
CPC, QPA

For more information or to subscribe to "ASC Alerts", please visit us at www.asc-net.com or email us at info@asc-net.com.

A PREMISE-BASED MANAGEMENT SYSTEM BUILT FOR THE RETIREMENT PLAN PROFESSIONAL

ASC offers two complementary CRM & Workflow Systems: Pension*Pal* and CATTS (Client and Task Tracking System). Both track your clients, contacts and associates, have employee level security restrictions, and keep plan information at your fingertips. In addition to implementation assistance and ongoing support from ASC's experienced support staff, both systems offer customizable workflow and task management fields, on-demand or scheduled reports, and letter and e-mail merge capabilities.

Pension*Pal* is built with the full service TPA in mind. Pension*Pal*'s customization enables you to work with your staff roles and outside partners to process your plans efficiently and exceed your clients' expectations. Pension*Pal* offers additional flexibility such as customizable dashboards, sales tracking, integration with ASC and other systems, detailed workflow and employee task management; as well as, correspondence and payout tracking.

ASC Sales at sales@asc-net.com or (800) 950-2082 x1 to discuss and find the perfect solution for your business needs.

Special Features:

- Customizable screen colors allow users to easily identify Client and Prospect information, plan year ends, and the status of plans

- Worklog and Accounting sections track data for multiple years

- Log all client correspondence with Pension*Pal*'s Outlook Add-In email integration feature

- Keep track of all payouts (Distributions, Loans, Hardships & QDROs)

- Attach notes, PDFs, and e-mails for uninterrupted client support

- Creation of merged templates using values from Pension*Pal* and Microsoft products

- Mass create fillable PDF Forms such as Annual Questionnaires and click once to update all returned information

- Pie-chart diagrams provide at-a-glance answers to referral source, investment, staffing resource, and other important profitability questions

- Detailed time and billing information tracks employee production and generates invoices

A WEB-BASED ORGANIZATIONAL TOOL BUILT FOR THE RETIREMENT PLAN PROFESSIONAL

A central location for all your data, workflow and distribution tracking, automated data collection and more!

ASC offers two complementary CRM & Workflow Systems: CATTS (Client and Task Tracking System) and Pension*Pal*. Track your clients, contacts, cases, participants, associated brokers, sales agents and accountants. Both systems offer customizable workflow and task management fields, on-demand or scheduled reports, letter and email merge capabilities and access to all plan information with the click of a mouse. ASC's ERISA experienced Support Team provides ongoing support including help with implementation. Contact ASC Sales at sales@asc-net.com or (800) 950-2082 x1 to discuss and find the right solution for your business.

AT-A-GLANCE: SEE THE BIG PICTURE!
& MONITOR ALL YOUR PLANS!

Integrated within ASC's product suite for "Real Time" data flow between systems, allowing you to see up-to-date and comprehensive status of all your plan sponsor and plan information.

ORGANIZED AND AUTOMATED

- All in one place: clients, contacts, cases, & participants plus the option to individualize with unlimited custom fields
- At a glance views of your filing deadlines, events, tasks and staff schedules
- Create and generate a variety of reports on demand or create reports to generate and deliver to users on a regular schedule
- Track annual or daily workflow with Case or Company projects and staff role assigned tasks
- Manage case workflow by converting internal checklists to customized project templates or utilize generic project templates

TRACK PARTICIPANT DISTRIBUTIONS &
OTHER EMPLOYEE DATA

CATTS AND PLAN SPONSOR CONNECT
COMMUNICATIONS & YEAR END DATA GATHERING

- Batch create customized Forms and store as Rosters for email delivery
- Batch create DGEM Pre-populated Forms and Document packages and store as Rosters for email delivery
- Publish CATTS Forms, DGEM Pre-populated Forms and Documents to the Plan Sponsor Connect Web Portal
- Gather Census and Questionnaire year end data with CATTS and the Plan Sponsor Connect Web Portal

EASIER & MORE EFFICIENT DATA COLLECTION FOR TPAS AND PLAN SPONSORS

Plan Sponsor Connect features a simple, easy to use interface via a modern, fully hosted, secure web portal.

Customizable online questionnaires and census submission with data validation and real time dashboards for status tracking increase your efficiency. Plus you can share and exchange files securely, track progress, send updates, provide important plan related documents, and more.

- Streamlined data collection - including customizable on-line questionnaires and census collection (with data validation!)

- Eliminate security risk and concerns of sending & receiving unsecured emails containing PII

- Dashboard for TPAs to easily and quickly monitor and track statuses

- Batch email to invite plan sponsors to their year-end data collection process

- Bulk download of submitted data

- Modern, user-friendly plan sponsor interface with branded landing page and customizable menus; no need for a "web-design" guru

- Provide plan sponsors with 24/7 online access to important plan information (SPDs, Valuation Reports, SARs, Administrative Forms and more)

- Provide advisors, CPAs and other industry partners with a secure method to exchange data

- Training and ongoing support provided by ASC's industry experts!

Plan Sponsor Connect is available <u>independently</u> or as part of ASC's suite of Retirement Plan Systems

QUESTIONNAIRE TEMPLATES

NAME	YEAR	ASSIGNED TO CASES	ACTION
2023 Year End Questionniare DB	2023		Edit | Assign to Cases | Clone | Rename | Delete
2023 Year End Questionnaire 401(k)	2023		Edit | Assign to Cases | Clone | Rename | Delete
2023 Year End Questionnaire PSP	2023		Edit | Assign to Cases | Clone | Rename | Delete
Template Questionnaire DC	2023		Edit | Assign to Cases | Clone | Rename | Delete
2023QuestionnaireDC	2023	1 Case	Edit | Assign to Cases | Clone | Rename | Delete
Questionnaire 1	2022		Edit | Assign to Cases | Clone | Rename | Delete

SAVE TIME!

Your 5500s are automatically organized and easy to file year after year!

- Fully web-based
- EFAST2 Approved vendor
- Integrated with ASC's Document, Recordkeeping/Compliance, Plan Sponsor Connect, and Client & Task Tracking Systems
- Branded secure sign-in page
- Invite Plan Sponsors individually or in batch
- Batch generate Form 5558 Extension to File
- Automated real-time form status updates from DOL for easy tracking
- Additional fillable forms...
- Roll forward year to year
- FIRE file 8955 Forms
- 99.99% filings received without errors

Additional Volume Features available:

- Custom Imports from recordkeeping system and third-party data for the 5500SF Forms
- Custom "Move Forward Wizard in a single batch w/answers from prior year
- Generating 5500 and 8955 PDFs in a single batch
- Validate 5500 and 8955 Forms in a single batch
- Invite signers in a single batch
- API Available

ASC

Actuarial Systems Corporation