

Increase Your Efficiency

By Putting Plan Sponsors in the Driver's
Seat with Your Expert Guidance
Available Along the Way



ASC DRIVE - Plan Sponsor Driven Testing

ASC DRIVE is the next generation in automation, allowing Plan Sponsors to **initiate and drive their own IRS limits testing of 401(k) accounts**. 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.

A component of ASC's industry leading Compliance Testing System

Retirement plan software, documents & 5500 forms

info@asc-net.com | www.asc-net.com | (800) 950-2082 x1



ASC DRIVE – Plan Sponsor Driven Testing

Let your plan sponsors take the wheel of their own compliance testing!

150039-001 RetireWealthy 401(k) Plan 12/31/2015

PLAN QUESTIONNAIRE

Plan Information

Matching Contributions

Forfeitures

Employer Allocations

Highly Compensated Employees

Collectively Bargained Employees

Summary

Let's talk about the contributions you are providing on behalf of your employees...

We'll start with Matching Contributions...

1) Our records indicate that your plan used the Match formula displayed below in the prior year. Does this formula represent the Match contributed on behalf of your employees this year? ☐ Yes ☐ No

50% of Employee Deferrals up to 6% of Compensation

2) Do all eligible participants receive a match? ☐ Yes ☐ No

3) Do you want Admin to calculate a True up on the Match contribution for the current year? ☐ Yes ☐ No

4) Will you be funding an employer match contribution for the Plan Year? ☐ Yes ☐ No

5) Did you Plan correct Employee Elective Deferral Failure through the Employee Plan? ☐ Yes ☐ No

Customizable Year End Questionnaire for quick & easy on-line completion

150039-001 RetireWealthy 401(k) Plan 12/31/2015

SEARCH: Enter Participant Name or ID

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INDICATIVE

ID	Name	Birth	Hire	Eligibility	Separation	Behire	Hours	Key	HCE	Owner %	Officer	Lineal Descendant	Family Group
32323232	CUNNINGHAM, BRIAN	3/14/1948	9/1/1974	1/1/2010			2,080			100.00			
99830555	CUNNINGHAM, BRIAN	2/15/1974	11/5/2009	1/1/2010			2,080						
33333333	D'AMICO, JERRY	3/14/1971	1/31/2000	1/1/2010			2,080						
44444444	DARLING, AMANDA	6/2/1974	7/19/1999	1/1/2010			2,080						
55555555	DONOVAN, STEVEN	4/22/1954	5/18/2009	5/17/2010			2,080						
66666666	FERRARA, MERCA	5/21/1973	2/28/2000	1/1/2010			2,080						
77777777	FRANKE, AL	11/21/1958	8/2/1988	1/1/2010			7,080						

SAVE CHECK FOR DATA ERRORS FINALIZE DATA TRANSFER TO ADMIN

Add Employee Import/Export Data Create Restore Point View Restore Points

User friendly census data import which includes comprehensive data checks for accuracy and completeness

150039-001 RetireWealthy 401(k) Plan 12/31/2015

SEARCH: Enter Participant Name or ID

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INDICATIVE

Step 1: Import Step 2: Edit Data Step 3: Pretest Step 4: In Progress

The Final ADP/ACP Test Passed.
Please review the following results and choose Accept Results, or click Edit Data or Transfer to Admin.

STATUTORY TEST GROUP

Test Results:

	ADP Test	ACP Test
	Count	Count
HCE	1 6.00%	1 3.00%
NHCE	30 6.49%	30 1.59%
Plan Total	31	31
Results	Passes	Passes

FAIL TEST EDIT DATA ACCEPT RESULTS CONFIRM CORRECTION BY RETURNING CONTRIBUTIONS CONFIRM CORRECTION BY DEPOSITING ADDITIONAL CONTRIBUTIONS

TRANSFER TO ADMIN

Plan Sponsors can perform their plan's compliance testing on their time line – with your compliance experts on standby for assistance

- Verifying Match & ER contributions
- Identifying HCE & Key Employees
- Top Heavy Status
- ADP/ACP Test Results with correction options

150039-001 RetireWealthy 401(k) Plan 12/31/2015

SEARCH: Enter Participant Name or ID

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TRANSFER TO ADMIN

Monitor your plan sponsors' progress as they navigate through their testing cycle

Data files for corrections, true ups, allocations, etc. can then be created for processing



DATA COLLECTION & VALIDATION

SUPPORT



PRE-TESTING (CONTRIBUTION CALCULATION)

PORT



TESTING (402(G), ADP...)

SUPPORT



DEADLINE