Cycle 3 Document Restatements Using DGEM

Actuarial Systems Corporation

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Special Guests: Mona Wilkinson and Randy Bryan

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Agenda:

- Cycle 3 Restatement Projected Release Schedule
- Prep for Your Cycle 3 Restatements
- Restating Your Plans Using DGEM/New Features
- Pension*Pal* – DGEM Integration
- CATTS – DGEM Integration
- Gemini Web Portal for Plan Sponsors
- ASC System Proficiencies with Cycle 3 Restatements
- How to contact ASC Support

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Cycle 3 Restatement Projected Release Schedule

- Nonstandardized & Standardized PS/401(k) Plans– Available Now!
- Owners Only PS/401(k) Plan– Available Now!
- Nonstandardized Money Purchase Pension Plan – September
- Nonstandardized Governmental PS/401(k) Plan – Mid-September
- Nonstandardized Governmental Money Purchase Pension Plan – Mid-October
- Nonstandardized Church PS/401(k) Plan – End of October
- Nonstandardized Church Money Purchase Pension Plan – End of October
- Nonstandardized ESOP/KSOP - November

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Prep for Your Cycle 3 Restatements

- Review Cycle 3 Annotated AA & BPD (**Download** > **2 Plan Documents > Defined Contribution > Cycle 3 > Cycle 3 Annotated AAs and BPDs**)
- Locate Cycle 3 BPDs (**Download** > **2 Plan Documents > Defined Contribution > Cycle 3 > Cycle 3 BPD**)
- Confirm you have all applicable Cycle 3 opinion letters. (**Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text** link at bottom of DGEM page)
  - If you need additional document types, contact Sales@asc-net.com
- Update User Security Groups to add Cycle 3 document access, if needed. (**User Logins** > **DGEM Groups > Modify > Restrict By Document Type**)

User Logins | Email Log | Archived Clients | Support | Download | User Guides/FAQ | Reset Password Annual Notice Wizard | 5500 Wizards | Import/Export Email Addresses | ASCVal Plan Data | Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text | Batch View Docs | E-Library | View Blank AA | Hardship Interim Amendment Wizard | Batch Print AA Package | Batch Print LOMs

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Prep for Your Cycle 3 Restatements

- Confirm "from" email, if sending AA Packages to clients from DGEM
  - You can set up one sender email address for emailing documents and pre-populated forms directly to your clients from DGEM.
- Review and update Employer email addresses for E-sign, if applicable

User Logins | Email Log | Archived Clients | Support | Download | User Guides/FAQ | Reset Password
Annual Notice Wizard | 5500 Wizards | Import/Export Email Addresses | ASCVal Plan Data
Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text | Batch View Docs | E-Library | View Blank AA
| Hardship Interim Amendment Wizard

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- Export list of PPA plans using the Export/Import feature for tracking purposes, if needed

ASC | Clients | Patterns | Find | Silver Consulting | E-sign Status | Export/Import

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Prep for Your Cycle 3 Restatements

- Review Cover Letter/FAQ (**Manage Documents** page > **View Docs and AA Package** or **Pre-populated Forms**. Also included in handouts.)
  - Use ASC's generic
  - Customize and upload cover letter (see DGEM User Guide, p. 27)

User Logins | Email Log | Archived Clients | Support | Download | User Guides/FAQ | Reset Password
Annual Notice Wizard | 5500 Wizards | Import/Export Email Addresses | ASCVal Plan Data
Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text | Batch View Docs | E-Library | View Blank AA
Hardship Interim Amendment Wizard

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- Consider Hardship Distribution Interim Amendments (HDIA)
  - HDIA for Cycle 3 (BPDs already include HDIA, see Appendix section)
  - Have you created HDIAs with the HDIA Wizard?
  - Consider creating for PPA docs prior to restating to easily populate your provider defaults

User Logins | Email Log | Archived Clients | Support | Download | User Guides/FAQ | Reset Password
Annual Notice Wizard | 5500 Wizards | Import/Export Email Addresses | ASCVal Plan Data
Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text | Batch View Docs | E-Library | View Blank AA
| Hardship Interim Amendment Wizard | Batch Print AA Package | Batch Print LOMs

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Restating Your Plans Using DGEM

- Restate plans in batch
  - Use **Find** feature - see **DGEM User Guide, p. 41**
  - All docs of the same type can be restated at once
  - Select option under **Show PPA**, if applicable
  - Easily make across-the-board changes for all plans
    - Great time to review/update your Company name, address, phone in existing plans, if needed

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Restating Your Plans Using DGEM

- Restate plans in batch

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Restating Your Plans Using DGEM

- Restate plans in batch
  - If no across-the-board changes will be made, stop after Step 1
    - No elections need to be made
    - Do not click **Save & Finish**
  - If across-the-board changes will be made
    - Make desired changes
    - Click **Save & Add More Changes** on each page changed
    - Click **Save & Finish,** then click **Execute Batch Update** on next page
  - Return to each client's **Manage Documents** page to <u>review</u> and <u>finalize</u> each document

Find

Create Restatement

Restate To: [Cycle 3 PS 401k N0of C3 AA]

Next ▷

Batch Update: Step 1

Some of the plans selected were not processed. Check for specific plan errors here.

Updated Questions: NONE

◁ Back | Clear | Save & Add More Changes ⊕ | Save & Finish ▷

General Information
1. Employer Information
2. Plan Information

GENERAL INFORMATION
In order to save changes click the save button.

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Restating Your Plans Using DGEM

- Restate plans one-by-one (See **DGEM User Guide,** p. 41)
  - Select Plan to be restated (<u>must</u> select latest plan)
  - Select **Create Restatement** from dropdown list
  - Select appropriate Cycle 3 document on next page, which takes you to the Cycle 3 checklist

Manage Documents - Abe Henry Henke

Manage Plan Documents and 5500 Forms

Filter: [   ]   Show Old ⊟
Document Type   Plan Version   Status   Date   User
PPA PS/401(k) VS AA   001 V1.   in process 09/08/2020 Support
PPA PS/401(k) VS AA   001 V1.1 sub in process 09/06/2020 Support

Edit ▾   Next ▷
Edit
Browse
Delete
View Docs and AA Package
E-Sign Documents
View Pre-populated Forms
Manage Document Status

Create Restatement
Create Substitute Clause

Customized Documents

Upload ▷

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Restating Your Plans Using DGEM

ALL PLANS:

- Make any Employer-requested changes

- **Validate** at any time during the process and **always before finalizing**!

Edit C3 PS/401(k) NStd (01-001/002) AA - 1 C3 Test Employer

Back | Finalize | Clear | **Validate** | Save | Save & Next

- Generate AA and save to file or print (**Manage Documents** page, Select Plan > **View Docs and AA Package)**

- **Review, review, and then review again!**

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Adoption Agreement Packages

Abe Henry Henke
C3 PS/401(k) NStd (01-001/002) AA   Version: V1   Plan: 002

☐ Cover Letter
   Default Cover Letter
☐ Adoption Agreement
   ☐ E-Signed version
☐ Trust Agreement (Cycle 3 Only)
☐ Corporate Resolution
   ☐ E-Signed version
☐ Summary Plan Description
☐ Plan Summary
☐ Employer Resolutions for Participating Employers
   ☐ E-Signed version
☐ IRS Approval Letters
   ASCI C3 IRS Opinion Ltr NS PS401k-Full.pdf
   ASCI C3 IRS Opinion Ltr S PS40 fk-Full.pdf

☐ Other Generic Documents
   ASCI 403b 501c3 08-001.pdf
   ASCI Gov Volume Submitter Profit Sharing Plan with
   ASCI Prototype Non-Standardized Profit Sharing Plan
   ASCI Volume Submitter Profit Sharing Plan With COL

Generate Doc   Generate PDF

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Restating Your Plans Using DGEM

- Determine delivery method
  - Wet signature or E-Sign (contact Sales@asc-net.com to enroll in E-sign)
  - Email to Plan Sponsor from DGEM, CATTS, or Pension*Pal*
  - Upload to Plan Sponsor website using Gemini
  - Other methods (e.g. personal delivery, snail mail)
- Generate and deliver documents and forms

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Best Practices and New Features!

- Document Statuses
  - Update to Final/Executed/Esigned greatly increases system functionality options
    - Required for CATTS and Pension*Pal* integration
    - Provides more accurate information for ASCVal integration
  - Update plans individually or in batch

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Best Practices and New Features!

- Update Document Status by Plan
  - From Plan Checklist:

OR

  - From Manage Documents page

Modify Document Status

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Best Practices and New Features!

- Document Status Update in Batch
  - On the **Clients** screen, click the **Import/Export Client Data** located towards the bottom of the screen
  - On next screen, scroll down to **Batch Update Plan Status** and click **Next>**
  - On **Batch Update Plan Status** page, check applicable box(es) and then click **Create Template**
  - Carefully review the plans in the import template and update plans as applicable; save file and upload back into DGEM

Client and Plan Data Import/Export/Batch Update

Import /Export Client Data

Batch Update Plan Status

Create Template

Create an Import Template – prefilled with current plans and their status

☑ Include only the latest version of the plan
☐ Include plans of Archived Clients
☑ Include both PPA and Cycle 3 plan during the most recent restatement period

Create Template

Update Plan Statuses

Upload the Import Template with current plans and updated status:

Choose File No file chosen

Batch Update Plan Status

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Best Practices and New Features!

- Batch Print. Select multiple plans and zip the PDFs – up to 1,000 at a time!
  - Must first set Plan status to Final/Executed/Esigned
  - AA Packages (Includes AA, SPD, and Plan Summary)
  - List of Modifications (LOMs for MEP Adopting Employers)

User Logins | Email Log | Archived Clients | Support | Download | User Guides/FAQ | Reset Password
Annual Notice Wizard | 5500 Wizards | Import/Export Email Addresses | ASCVal Plan Data
Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text | Batch View Docs | E-Library | View Blank AA
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Cycle 3 Pension*Pal* - DGEM Integration

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Cycle 3 Restatement Tracking Pages

- Fields
- Workflow
- Rename & Rearrange – Match Your Processes and Procedures
- Design Your Own
  - Import Headers to Current Form Feature

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Dashboard / My Workflow
- Update Workflow and Tasks
- Track Completion Status

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Pension*Pal* **Web Portal Users – Upload to Portal**
- Individual – one at a time
- Batch – based on criteria
- Email Notification to Plan Sponsors

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Slide 25

ASC Plan Docs in Pension*Pal*

- Plan Summary
- Adoption Agreement
- ASC Data Import Preview
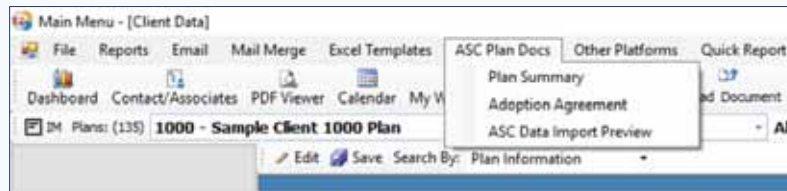
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Cycle 3 CATTS - DGEM Integration

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Topics to cover:

- Project and Tasks functionality
- Outlook Integration and storing communication history
- Custom communication to plan sponsors for completing Cycle 3 checklists
- Mail Merge with DGEM AA package, delivery, and tracking
- Flexible options for delivering communications to multiple contacts

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Create Cycle 3 Restatement Projects

- Sample Cycle 3 Project
- The project task list may be customized to your organization's processes
- Tasks may be detailed or general
- Tasks not applicable to every plan may be set-up to skip
- Assign task due date based on project start date, completion of prior task date, or hardcoding
- Assign tasks to CATTS users based on staff role

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Schedule Cycle 3 Restatement Projects
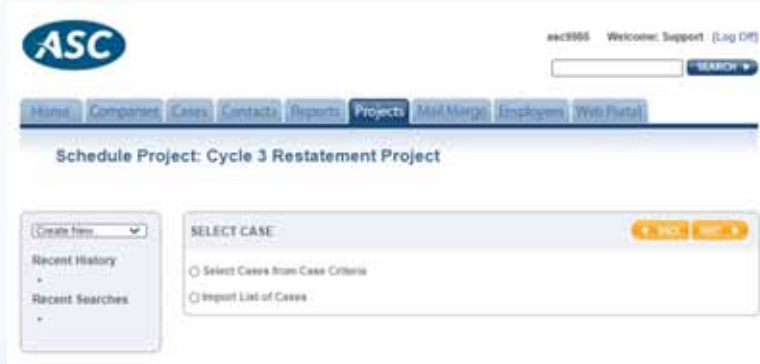
- Assign plans to projects using plan criteria or import a hard-coded list of plans
- DGEM document integration creates plan records in CATTS
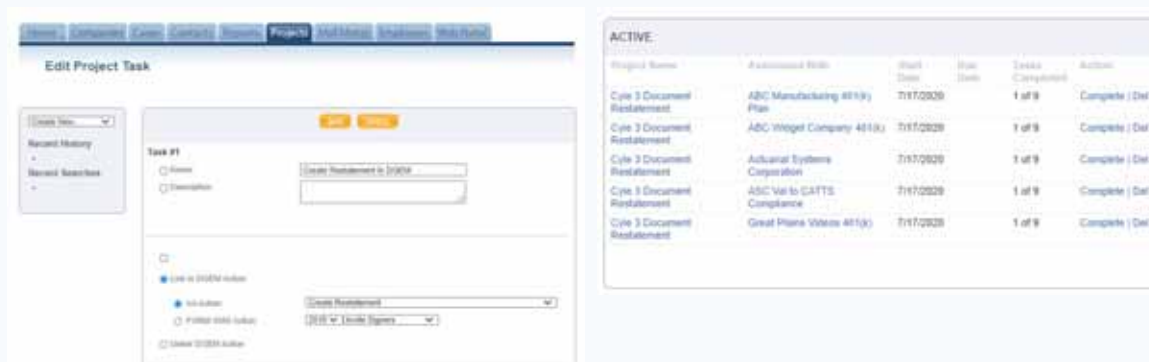- The project task list is assigned to each plan affiliated with the project

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DGEM Action Integration for Task Completion

- Code a CATTS Cycle 3 Project for automatic task completion with the "Batch Create Restatements" feature

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DGEM Action Integration for Task Completion

- Code a CATTS Cycle 3 Project for automatic task completion with DGEM Action – "Modify Status" to "executed or final" status

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Reports Track Project Progress

- Create and generate reports under the "Reports Tab"
- Generate Project Summary Reports to view project % completions
- Generate Project Detail Reports.
  - Create reports with options to review each task's:
    - Assignment
    - Due date
    - Complete date
- No limit to the number of reports affiliated with a single project
- Availability
  - Generate Reports on demand
  - Schedule the periodic delivery of reports

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Outlook Integration and Communication Tracking

- Integration matches a "Sent" or a "From" Outlook email address to a CATTS contact email address
- Highlight a plan sponsor "Cycle 3" email communication. Click the ASC CATTS "Log to contact" or "Log to case & contact" to move a copy of the email to the Contact Notes and Attachments Panel

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Custom Communication for Cycle 3 Information

- Cycle 3 DGEM Forms may be delivered from CATTS
- Create DGEM "Rosters" under Pre-populated Forms which flow to CATTS
- Under the CATTS Mail Merge tab Reference the "Roster", select contact, and "Send Email"

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Custom Communication for Cycle 3 Information

- Create Cycle 3 communication with CATTS Forms Templates
- Create CATTS "Rosters" for email delivery
- Select Mail Merge and reference CATTS Roster to Batch send Cycle 3 Forms
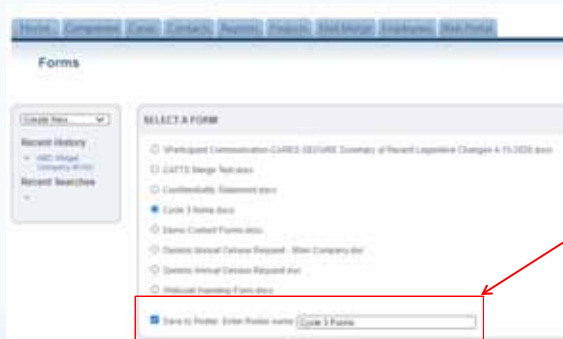
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Mail Merge with DGEM AA Package

- DGEM documents in "Executed", "Final", or "Esign" status may be batch delivered from the CATTS "Mail Merge" tab
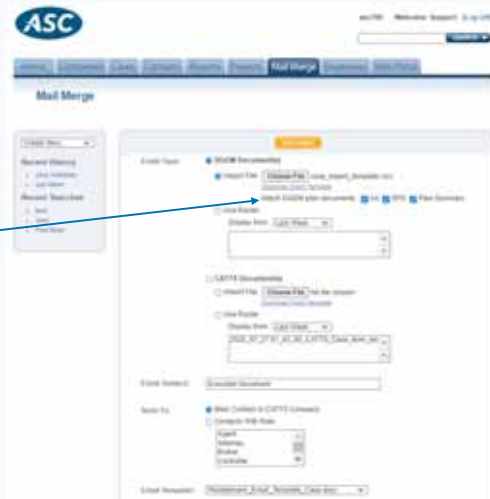
- DGEM Integration is automatic and no additional set-up in CATTS required
- Select Contact and "SENT EMAIL"
- Add the email as a Contact Note in CATTS

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Flexible Options for Cycle 3 Contact Delivery

- Option to deliver communications to contacts by CATTS role
- System creates automatic history record of the email

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Gemini Web Portal for Plan Sponsors

- Portal, when tied to CATTS, is hosted and supported by ASC
- Provides a primary point of contact for plan sponsors @MyRetirementAccounts

- Brand the site with Customization options
- Offers secure transmittal of sensitive data
- Plan sponsors may access plan related information, documents, forms, reports, and more!

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Pairing Gemini with ASC CRMS

- Publish CATTS Forms directly to Gemini under the Web Portal tab and "Post File"
- Create letters, new service agreements, and more for a Single Case or for a Batch (using a Multiple Cases import)

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Post Cycle 3 Questionnaires to Gemini

- Gather Cycle 3 information by posting Questionnaires to Gemini
- Load Questionnaire from CATTS under the Web Portal tab
- Plan Sponsor downloads from Gemini and completes

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Load Cycle 3 Information back to CATTS

- Plan Sponsors upload completed questionnaires from Gemini to CATTS
- The questionnaire is stored in the "UPLOADED FILES" panel as a permanent part of the CATTS case record
- Click on the File Name to view on screen

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System Proficiencies with Cycle 3 Restatements

ASC System Feature	DGEM Plan Docs	CATTS CRM		Gemini Web Portal		PensionPal CRM & Web Portal	
Upload/Transfer/Publish							
Basic Plan Document/Adoption Agreement	✔	✔	Automated	✔	Manual; Batch with CATTS	✔	Automated
Plan Summary Highlights	✔	✔	Automated	✔	Automated	✔	Automated
Summary Plan Description	✔	✔	Automated	✔	Manual; Batch with CATTS	✔	Automated
Summary of Material Modifications	✔	✔	Automated	✔	Manual	✔	Manual
Determination/Opinion Letters	✔	✔	Automated	✔	Manual	✔	Manual
Participant Notices (e.g. Safe Harbor, Automatic Enroll, etc.)	✔	✔	Manual	✔	Manual	✔	Manual
Pre-Populated Forms	✔	✔	Batch	✔	Manual; Batch with CATTS	✔	Manual
Communication Capabilities							
Batch Email	✔			✔		✔	
Client Specific Email	✔	✔		✔		✔	
E-Sign Available	✔						
Tracking Processes							
Task Management (e.g. Workflows and Projects)		✔				✔	
Cover or Form Letters	✔	✔		✔		✔	
Reminders	✔	✔		✔		✔	

If you are interested in adding any of these products to your ASC product suite, contact sales@asc-net.com. If you have questions about how any of these work, contact support@asc-net.com

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How to get help from ASC Support!

- In DGEM: Click the "Support" link at the bottom of any DGEM screen
- In CATTS: Click the "Contact ASC" link at the bottom of the CATTS screen
- For Pension*Pal* (and all ASC products): Login to ASC's Client Support Center (CSC)
- Email Support@asc-net.com

We're here to help!

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