

Plan Provision Summary



an ascensus® company

Plan name/ID _____

Company name _____

Meeting date/time _____

Participation

Who is eligible to participate in the plan? _____

Entry date(s) _____

Does this plan have automatic enrollment? Yes No

If yes, what is the minimum employee contribution? _____

Are there automatic increases? Yes No

If yes, when do the increases take place? _____

If yes, what is the maximum amount? _____

Contributions

What employee contributions are permitted by the plan? _____

Are catch-up contributions permitted? Yes No

Does the employer make contributions to the plan? Yes No

Matching Yes No

If yes, are the contributions discretionary? Yes No

If yes, does the employer want the discretionary contributions included in the meeting? Yes No

Safe Harbor Yes No

If yes, what type of Safe Harbor contribution? NEC (Non-elective) Match

Other _____

Does the employer match apply to catch-up contributions? Yes No

Does this plan allow rollovers? Yes No

If yes, who can rollover? Eligible employees All employees

If yes, from what source? 401(k) 457 403(b) Other _____

Does this plan allow In Plan Roth Rollovers? Yes No

When can participants change their contribution amounts? Determined by employer _____

How do they implement these changes? _____

Vesting

Located in the SPD

Does a vesting schedule apply to employer contributions? Yes No, match only

Year(s) of Vesting Service	Vesting Percentage
Less than 1	_____ %
1	_____ %
2	_____ %
3	_____ %
4	_____ %
5	_____ %
6	_____ %

Withdrawals

When can participants make withdrawals from the plan? _____

Are loans permitted? Yes No

If yes, the minimum loan amount is \$ _____

If yes, the maximum number of years in which the loan must be repaid is _____

If yes, a participant may have _____ outstanding loans at one time

Investment and Fund Selection

How often may participants change their investment selections? _____

Default investment fund name? _____

Are fund prospectuses available? Yes _____

Whom should participants contact for a copy of their fund prospectuses?

Contact the Participant Service Team or view the prospectuses on the participant website _____

Miscellaneous Information

Key dates for plan year end _____

Questions

If participants have questions that are not answered in the enrollment presentation or participant materials, whom should they contact and how? _____

Transfer Plan

When is the blackout period? _____

When will the plan be live on the web and IVR? _____

When do contributions to the new provider start? _____

Do participants need to actively re-enroll, or will the funds be mapped from the prior provider? _____

What are the significant plan changes from the prior plan? _____

Logistics

What enrollment kits will be used by the participants? Generic Custom

To whose attention have the enrollment kits been sent? _____

When are the enrollment kits expected to arrive? _____

How will participants enroll in the plan?

Online enrollment only

Funds are being mapped

Enrollment forms should be returned by the following date _____

Beneficiary forms should be sent to Plan Administrator Ascensus;

Mail: 200 Dryden Road, Dresher PA 19025

Fax: 215-648-4888

Will the financial advisor attend the education meeting? Yes No

Current plan participation rate _____ %

Notes

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