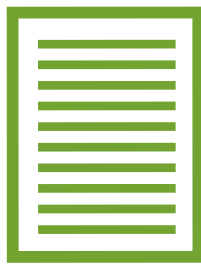




# 2016 Forms & Documents Catalog



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# Account Establishment



## Conversion and Amendment Service

Converting your IRAs, Coverdell education savings accounts (ESAs), and health savings accounts (HSAs) to Ascensus® documents is easy. Ascensus offers a variety of Universal Amendments that will update your documents and convert them to the Ascensus forms suite. Either your financial organization or the professionals at Ascensus can provide these amendments to your account owners. Act now and be among the many financial organizations that convert to Ascensus' documents each year.

### The typical conversion process is simple.

1. Select the appropriate Universal Amendment.
2. Include the amendment in the next mailing to your existing account owners. In general, no signatures are needed, and no follow-up is required.
3. Document which account owners received the amendment and keep a copy of the mailing in your master file.
4. Continue using Ascensus' forms for new accounts and for additional transactions.

We can further simplify the process for you. By supplying us with a list of your account owners, you can use our Amendment Service to complete the entire conversion for you. **Contact your Ascensus Sales Representative for additional information.**

## Watch for Industry and Amendment News Here

Ascensus understands the need for up-to-the-minute, accurate information and offers it to you absolutely free.

Go to *Latest News* at [www.ascensus.com](http://www.ascensus.com) to find compliance and industry news articles, plus archived news articles. When your organization accesses our *Latest News*, you can be assured that your staff is receiving current information and a consistent message. Remember to bookmark [www.ascensus.com](http://www.ascensus.com) for free updates, or simply subscribe to the RSS Feed and the news will be sent directly to your email.

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ascensus® Always have a plan

Retirement Plan Solutions Training Services Software & Calculators Forms & Publications Consulting Solutions Employee Benefits Solutions

Consulting Solutions Build a better plan

- Consulting Services

Latest News

11/4/2014  
[IRS Releases 2015 Form 1099-Q](#)

10/30/2014  
[IRS Releases 2015 Instructions to Form 5498-ESA](#)

10/30/2014  
[Relief for California Storm Victims](#)

Ascensus: A Respected Leader

LinkedIn

The future holds promise. For all of us, there are goals we hope to accomplish, adventures we wish to embark on, and dreams we want to realize. The many possibilities are the reason we ask the big questions:

- What can we be doing better?
- Will the actions taken today position us for greater success tomorrow?

I'd like to...

- Log on to IRAdirect
- Access the client area
- Print forms checklist
- Register for training
- Demo a product
- Search career opportunities
- Quote amendment mailing
- Place an order

# Account Establishment



## Opening Documents

Ascensus' IRA, ESA, and HSA opening documents are drafted by in-house senior ERISA staff with more than 50 years of combined experience working with retirement, health, and education savings accounts. Our ERISA specialists continually monitor federal government requirements and carefully design our documents to meet these requirements. Everything you need to properly establish an account is included in our *Simplifier*®.

Updated for 2016

### Traditional IRA

#97	Trust <sup>1</sup>
#98	Custodial
#100	Self-Directed Custodial
#97-IH	Inherited-Trust <sup>1</sup>
#98-IH	Inherited-Custodial
#100-IH	Inherited-Self-Directed Custodial

### Roth IRA

#6097	Trust <sup>1</sup>
#6098	Custodial
#6100	Self-Directed Custodial
#6097-IH	Inherited-Trust <sup>1</sup>
#6098-IH	Inherited-Custodial
#6100-IH	Inherited-Self-Directed Custodial

### SIMPLE IRA

#1097	Trust <sup>1</sup>
#1098	Custodial
#1100	Self-Directed Custodial

### Coverdell ESA

#5097	Trust <sup>1</sup>
#5098	Custodial

### HSA

#3499	Trust <sup>1</sup>
#3500	Custodial



## Ascensus' Forms and Document Delivery Options

- **Online** – integrate Internet-ready forms into your website or IRA platform
- **Custom Print** – present your specific look and coordinate with your other printed materials
- **Imprinted** – imprint with your contact information
- **Off-the-Shelf** – order forms when you need them and without any minimum order requirements

### Simplifier® Pricing

Multi-Page, 8½ x 11

Quantity	50	100	250	500**
Nonimprint	\$104	\$157	\$323	\$450
Imprinted*	\$134	\$202	\$380	\$550

\* Imprinting includes up to four lines of type (black ink).

\*\* Additional quantities are available at a reduced fee.

<sup>1</sup> To be used for managed or self-directed trust accounts.

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.

# Account Maintenance Forms



## Forms Handbook

Make using Ascensus' forms even easier with Ascensus' *Forms Handbook*. This practical handbook provides clear instructions for completing each of Ascensus' IRA, ESA, and HSA account maintenance forms. Having the *Forms Handbook* available helps your organization stay in compliance with government regulations and eliminates confusion about which forms to use and how to fill them out.

**Withholding Election**  
 Payers of IRA distributions are required to withhold 10 percent on IRA distributions for federal income tax withholding unless the recipient elects not to have withholding apply. If the recipient is a nonresident alien, do not complete the withholding election on this form. IRA withholding requires a notice and an election. Both parts are included within Ascensus' *Withdrawal Authorizations*. Financial organizations should check with the state department of revenue to determine if state withholding applies to IRAs that it administers. The Withholding Notice is located on page 2 of the *Withdrawal Authorization*.

Recipients generally may elect not to have withholding apply if the recipient is a U.S. citizen and does not provide your financial organization with a U.S. residence address, withholding may not be waived. In this case, your financial organization must withhold. The election is authorized when the recipient signs the withholding election. If the recipient does not elect out of withholding, your financial organization must withhold 10 percent of the IRA distribution. Once the recipient makes a withholding election, it remains in effect for any subsequent withdrawal until revoked. A recipient may revoke an election at any time by signing another withholding election.

**Federal Withholding**  
 Select whether to have federal withholding apply. If the IRA owner elects to have federal withholding apply, the individual should list the applicable withholding percentage or amount.

**State Withholding**  
 Select whether to have state withholding apply if the IRA owner elects to have state withholding apply. The individual should indicate which state the withholding applies to and list any applicable withholding percentage or amount.

**NOTE:** If total annual distributions are less than \$200, the withholding notice and election requirements do not apply. For more information on how to provide the annual notice, refer to the Withholding Notice and Election (Form 317). See page 73.

**Withdrawal Summary**  
 This section assists your data center with proper reporting on IRS Form 1099-R. Enter the gross withdrawal amount after any penalties and fees that are assessed by your financial organization. If the IRA owner elected federal or state withholding, enter those amounts in the space provided. The Gross Withdrawal Amount is entered in Box 1 of Form 1099-R for Traditional, Roth, and SIMPLE IRAs. This amount also is entered in Box 2a, taxable amount, for Traditional and SIMPLE IRAs, but not for Roth IRAs. The Federal Withholding Amount is entered in Box 4. The State Withholding Amount is entered in Box 12.

Subtract the Federal Withholding Amount and State Withholding Amount from the Gross Withdrawal Amount to determine the Net Withdrawal Amount.

**Withdrawal Instructions**  
 Indicate the type of assets to withdraw, including the amount of each type, and any special instructions. Choose a payment method and enter the applicable information for that method.

**Signatures**  
 Have the IRA owner (or beneficiary or former spouse), a notary public/signature guarantee (as required), and an authorized representative of your financial organization sign and date the form.

**Samples**  
 A sample of the Traditional and SIMPLE IRA Withdrawal Authorization (Form 314) and the Roth IRA Withdrawal Authorization (Form 6314) follow.

90

90

51

Updated for 2016

Including two new forms

**#889 Forms Handbook**

8½ x 11

**\$21 each**

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.

# Account Maintenance Forms



## IRA Contributions

Ascensus' contribution forms can be used internally by your financial organization to track IRA contributions or by your data center to prepare IRS forms. Our *IRA Contribution Eligibility* forms help you verify that an individual is eligible to make an IRA contribution. And our *IRA Contribution and Investment Selection* forms identify the contribution type and tax year, gather deposit and investment information, and satisfy the written election requirement for rollovers and recharacterizations.

### Traditional IRA

- #109 Traditional IRA Contribution Eligibility
- #107 Traditional IRA Contribution and Investment Selection
- #106 Special Contributions
- #110 Conduit IRA Notice and Election

### Roth IRA

- #6109 Roth IRA Contribution Eligibility
- #6107 Roth IRA Contribution and Investment Selection
- #106 Special Contributions

### SIMPLE IRA

- #1107 SIMPLE IRA Contribution and Investment Selection
- NEW #1109 SIMPLE IRA Contribution Eligibility

#107

#106

#6109

Updated for 2016

See pages 14 and 15 for additional account maintenance forms for financial organizations who use Ascensus' Fully-Administered or Self-Administered Programs.

Account Maintenance Forms Pricing				
Quantity	50	100	250	500**
Nonimprint	\$17	\$32	\$65	\$105
Imprinted*	\$24	\$42	\$80	\$135

\* Imprinting includes up to four lines of type (black ink).  
 \*\* Additional quantities are available at a reduced fee.

Ascensus' account maintenance forms capture the information needed to satisfy various IRS requirements relating to record retention, reporting, notices, and written irrevocable elections for certain transactions.

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.

# Account Maintenance Forms



## IRA Portability

Ascensus' portability forms are used to document the movement of IRA assets within your organization or the movement of assets between IRAs held at different organizations. Because your organization is responsible for reporting to the IRS and to IRA owners the movement of assets, properly documenting these transactions is crucial to maintaining compliance.

### #302 Traditional & SIMPLE IRA Transfer Request

- Gathers current IRA trustee or custodian information
- Provides for the individual's authorization and instructions
- Addresses required minimum distribution or life expectancy payment concerns

### #305 IRA Rercharacterization Election

- Gathers original IRA contribution and current trustee and custodian information
- Satisfies the election requirement
- Determines earnings or loss attributable to the recharacterized amount

### #487 Direct Rollover Request

- Gathers distributing plan information
- Provides for the individual's authorization and instructions

### #6302 Roth IRA Transfer Request

- Gathers current IRA trustee or custodian information
- Provides for the individual's authorization and instructions
- Addresses life expectancy payment concerns

### #6305 Roth IRA Direct Conversion Request

- Gathers current IRA trustee and custodian information
- Provides for the individual's authorization and instruction
- Complies with the withholding notice and election requirements

#302

#6305

Updated for 2016

## IRA Service Center™

The *IRA Service Center™* provides all the basic tools that a financial organization needs to retain assets and to attract new IRA and ESA business using the Internet.

One of the tools in the *IRA Service Center* is the IRA and ESA forms suite, which includes the documents and forms (over 50 in all) that your organization needs to establish and service IRAs and ESAs.

Looking for an online HSA solution? See page 13 for information on the *HSA Service Center™*.

**Call your Ascensus Sales Representative at 800-346-3860 for additional information or to schedule a free online demonstration.**

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.

# Account Maintenance Forms



## IRA Distributions and Withholding

Ascensus' withdrawal forms can be used internally by your financial organization to track IRA distributions and by your data center to prepare IRS forms. Our IRA withdrawal forms will help you properly report distributions to avoid IRS penalties for incorrect reporting.

### #123 Traditional IRA Excess Removal Worksheet #6123 Roth IRA Excess Removal Worksheet

- Provides the steps an IRA owner must take to correct an excess contribution

### #314 Traditional & SIMPLE IRA Withdrawal Authorization #6314 Roth IRA Withdrawal Authorization

- Designates amount and distribution method
- Explains and documents distribution reason
- Complies with the withholding notice and election requirements

### #317 IRA Withholding Notice and Election #80024 IRA Withholding Notice and Election

- Satisfies the required withholding notice and election requirements
- Identifies prior elections (#317 only)
- Allows for change of current withholding election

### #319 IRA Substantially Equal Periodic Payment Election

- Explains all available substantially equal periodic payment options
- Documents the individual's withholding election
- Designates start date and payment frequency
- Complies with the withholding notice and election requirements

### #22 IRA Charitable Distribution Request

- Reviews qualified distribution requirements

#6123

#317

#314

## Account Maintenance Forms Pricing

1-Part, 8½ x 11

Quantity	50	100	250	500**
Nonimprint	\$18	\$32	\$65	\$105
Imprinted*	\$24	\$42	\$80	\$135

\* Imprinting includes up to four lines of type (black ink).

\*\* Additional quantities are available at a reduced fee.

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.



# Account Maintenance Forms



- Verifies eligibility of the individual to make a qualified distribution
- Designates distribution amount and method of withdrawal

## #321 Beneficiary Required Election

- Contains all available beneficiary options
- Explains and documents required elections

## #322 Traditional & SIMPLE IRA Required Minimum Distribution Scheduled Payment Election

- Designates start date and payment frequency
- Documents the RMD election
- Complies with the withholding notice and election requirements

## #323 Traditional & SIMPLE IRA Required Minimum Distribution Notice

- Identifies the date by which the IRA owner must withdraw an RMD
- Provides RMD statement alternatives

## #324 IRA Scheduled Payment Election

#324-IH Inherited IRA Scheduled Payment Election is also available.

- Documents payment option and reason
- Designates start date and payment frequency
- Complies with the withholding notice and election requirements

## #80024 IRA State Income Tax Withholding Election

- Documents the individual's state withholding election
- Identifies which IRA withdrawal form the election supplements

See pages 14 and 15 for additional account maintenance forms for financial organizations who use Ascensus' Fully-Administered or Self-Administered Programs.

#80024

#324

#22

## Net Income Attributable (NIA) Calculation "Smart Form"

Make calculating NIA a customer service for all your IRA and HSA owners by using the Net Income Attributable Calculation "smart form" from Ascensus. Simply enter the necessary account balance information for the calculation and let the form do the math for you.

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.

# Account Maintenance Forms



## IRA Beneficiary Designations

### #301 IRA Beneficiary Designation

#307 Inherited IRA Beneficiary Designation is also available.

- Revokes prior designations
- Identifies primary and contingent beneficiaries
- Identifies the current share percentage for each beneficiary
- Provides for spousal consent for community or marital property states

### #301-SU IRA Beneficiary Designation Addendum

- Identifies additional primary and contingent beneficiaries
- Identifies the current share percentage for each beneficiary

### #121 IRA Beneficiary Reminder Notice

- Identifies current primary and contingent beneficiaries
- Identifies the current share percentage for each beneficiary

## IRA Changes

### #311 IRA Information Change

- Identifies information currently on file for the IRA owner
- Provides for a signature authorizing the information change

### #2310 IRA HSA Investment Change

- Identifies investments currently on file for the IRA owner
- Provides for a signature authorizing the investment change

#301

#2310

Account Maintenance Forms Pricing				
1-Part, 8½ x 11				
Quantity	50	100	250	500**
Nonimprint	\$17	\$32	\$65	\$105
Imprinted*	\$24	\$42	\$80	\$135

\* Imprinting includes up to four lines of type (black ink).  
 \*\* Additional quantities are available at a reduced fee.

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.

# Account Maintenance Forms



## Coverdell Education Savings Account (ESA)

### ESA Contributions

#### #5109 Coverdell ESA Contribution Eligibility

- Reviews eligibility requirements for each contribution type
- Verifies individual's eligibility to make an ESA contribution

#### #5107 Coverdell ESA Contribution and Investment Selection

- Identifies contribution type and tax year
- Satisfies written election requirement for rollovers
- Gathers deposit and investment information

#### #106 Special Contributions

- Identifies contribution type and tax year
- Gathers deposit and investment information

### ESA Portability

#### #5302 Coverdell ESA Transfer Request

- Gathers current ESA trustee and custodian information
- Obtains responsible individual's authorization and instructions
- Verifies designated beneficiary information

### ESA Distributions

#### #5123 Coverdell ESA Excess Removal Worksheet

- Provides steps a responsible individual must take to correct an excess contribution

#### #5314 Coverdell ESA Withdrawal Authorization

- Designates distribution amount requested by the responsible individual and the distribution method
- Explains and documents the distribution reason

See pages 14 and 15 for additional account maintenance forms for financial organizations who use Ascensus' Fully-Administered or Self-Administered Programs.

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.

#5109

#5301

### ESA Death Beneficiary Designations

#### #5301 Coverdell ESA Death Beneficiary Designation

- Revokes prior death beneficiary designations
- Identifies primary and contingent death beneficiaries
- Identifies current share percentage for each death beneficiary

#### #5301-SU Death Beneficiary Designation Addendum

- Identifies additional primary and contingent death beneficiaries
- Identifies the current share percentage for each death beneficiary

### ESA Changes

#### #5311 Coverdell ESA Information Change

- Identifies information currently on file for the ESA
- Provides for a signature authorizing the information change

# Account Maintenance Forms



## Health Savings Account (HSA)

### HSA Contributions

#### #3107 HSA Contribution and Investment Selection

- Identifies contribution type and tax year
- Satisfies the written election requirement for rollovers
- Gathers deposit and investment information

#### #3109 HSA Contribution Eligibility

- Reviews requirements for each contribution type
- Verifies individual's eligibility to make an HSA contribution

#### #3322 Qualified HSA Funding Distribution Request

- Gathers distributing IRA and trustee and custodian information
- Provides for the individual's authorization and instruction

#### #3315 HSA Mistaken Distribution Repayment

- Documents mistaken distribution information and repayment date

### HSA Portability

#### #3302 HSA Transfer Request

- Gathers current HSA trustee and custodian information
- Obtains the individual's authorization and instructions

### HSA Withdrawals

#### #3123 HSA Excess Removal Worksheet

- Provides steps an HSA owner must take to correct an excess contribution.

#### #3314 HSA Withdrawal Authorization

- Explains and documents distribution reason
- Designates amount and distribution method

See pages 14 and 15 for additional account maintenance forms for financial organizations who use Ascensus' Fully-Administered or Self-Administered Programs.

### Account Maintenance Forms Pricing

Quantity	50	100	250	500**
Nonimprint	\$17	\$32	\$65	\$105
Imprinted*	\$24	\$42	\$80	\$135

\* Imprinting includes up to four lines of type (black ink).  
 \*\* Additional quantities are available at a reduced fee.

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.



## HSA Beneficiary Designations

### #3301 HSA Beneficiary Designation

- Revokes prior designations
- Identifies primary or contingent beneficiaries
- Identifies the current share percentage for each beneficiary
- Provides for spousal consent for community or marital property states

### #3301-SU HSA Beneficiary Designation Addendum

- Identifies additional primary and contingent beneficiaries
- Identifies the current share percentage for each beneficiary

### #3121 HSA Beneficiary Reminder Notice

- Identifies current primary and contingent beneficiaries
- Identifies the current share percentage for each beneficiary

## HSA Changes

### #3311 HSA Information Change

- Identifies information currently on file for the HSA owner
- Provides for a signature authorizing the information change

### #2310 IRA HSA Investment Change

- Identifies investments currently on file for the HSA owner
- Provides for a signature authorizing the investment change

#3311

#3121

**HSA Service Center™**

Looking for an online solution for HSA establishment and maintenance? The *HSA Service Center™* allows your clients to establish and service HSAs online. Alternatively, you may choose to limit online access only to your financial organization's internal network. As with all Ascensus web-based solutions, branding and customization are available.

**Call your Ascensus Sales Representative at 800-346-3860 for additional information or to schedule a free online demonstration.**

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.



## Contributions, Transfers, Account Changes, and Payment Elections

### Contributions

#21943 IRA Contribution Recharacterization – Form 2319 (Pricing Code 1)

### Transfers

#80026 IRA Direct Transfer Instructions – Form 2325 (Pricing Code 1)

#21996 Coverdell ESA Direct Transfer Instructions – Form 2525E (Pricing Code 1)

#26638 HSA Direct Transfer Instructions – Form 2625H (Pricing Code 1)

### Account Changes

#80015 Traditional IRA Change Notice – Form 2309 (Pricing Code 1)

#21220 Roth IRA Change Notice – Form 2409R (Pricing Code 1)

#21995 Coverdell ESA Change Notice – Form 2509E (Pricing Code 1)

#26067 HSA Change Notice – Form 2609H (Pricing Code 1)

#80026 #21943

**IRA CONTRIBUTION RECHARACTERIZATION (FORM 2319)**  
Please Print or Type

Old (Organization will complete) \_\_\_\_\_ Financial Organization Name \_\_\_\_\_  
 (IRA Owner Name (Print Last)) \_\_\_\_\_

**IRA CONTRIBUTION BEING RECHARACTERIZED**

Is this a regular contribution for \_\_\_\_\_ Year (YYYY)?  Yes  No  
 Is this distribution from a traditional IRA or traditional QDP that was contributed to a Roth IRA?  Yes  No  
 Is this distribution from a Roth IRA or designated Roth account under a QDP that was not contributed to a traditional IRA?  Yes  No  
 Contribution to this Recharacterization # \_\_\_\_\_ Original Contribution Year (MM/CCYY) \_\_\_\_\_  
 Amount to be Recharacterized \$ \_\_\_\_\_  
 Amount to be Recharacterized from (MM/CCYY) \_\_\_\_\_

**DISTRIBUTING IRA**

Being distributed from (check one)  Traditional IRA  Roth IRA  
 \_\_\_\_\_ of the organization named above  Traditional IRA  Roth IRA  
 Being IRA beneficiary  Yes  No  
 The distributing IRA owner who recharacterized to (check one)  Open  Closed  
 (Date of Distribution (MM/CCYY)) \_\_\_\_\_  
 Financial Organization Name \_\_\_\_\_  
 Financial City, State, ZIP \_\_\_\_\_

**RECEIVING IRA**

Being transferred to (check one)  Traditional IRA  Roth IRA  
 \_\_\_\_\_ of the organization named above  Traditional IRA  Roth IRA  
 Being IRA beneficiary  Yes  No  
 Must be different type than distributing IRA  Yes  No  
 (Date of Distribution (MM/CCYY)) \_\_\_\_\_  
 Financial Organization Name \_\_\_\_\_  
 Financial City, State, ZIP \_\_\_\_\_

**IRA OWNER'S SIGNATURE/DATE**

I, the distributing IRA beneficiary, do hereby request the amount to be transferred and agree to the receiving IRA beneficiary. These amounts are distributed to me in full and I agree to accept the distribution. (This amount is not to be included in my taxable income.)  
 \_\_\_\_\_ (Date (MM/CCYY)) \_\_\_\_\_

Signature \_\_\_\_\_ (Date (MM/CCYY)) \_\_\_\_\_  
 Signature Representative's Signature \_\_\_\_\_ (Date (MM/CCYY)) \_\_\_\_\_

**IRA OWNER'S SIGNATURE**

I have read and understand the instructions and agree to the transfer of my IRA or QDP to the receiving IRA beneficiary. (This amount is not to be included in my taxable income.)  
 \_\_\_\_\_ (Date (MM/CCYY)) \_\_\_\_\_

Signature \_\_\_\_\_ (Date (MM/CCYY)) \_\_\_\_\_  
 Signature Representative's Signature \_\_\_\_\_ (Date (MM/CCYY)) \_\_\_\_\_

© 2015 Ascensus, Inc., Middleton, WI (Form 2319-15) (Rev. 03/15)

IRAdirect Forms Pricing				
Pricing Code 1				
Multi-Part, Carbonless, 8½ x 11				
Quantity	50	100	250	500**
Nonimprint	\$41	\$69	\$140	\$220
Imprinted*	–	\$101	\$195	\$315

Pricing Code 2				
12-Page, 3⅞ x 8½ Booklet				
Quantity	50	100	250	500**
Nonimprint	\$57	\$101	\$220	\$380

\* Imprinting includes CUID and up to four lines of type (black ink).  
 \*\* Additional quantities are available at a reduced fee.

### Payment Elections

- #22552 Traditional IRA Periodic Payment Change – Form 2345 (Pricing Code 1)
- #80021 Individual Retirement Account Periodic Payments Before Age 70½ – Form 2316 (Pricing Code 1)
- #80055 Traditional IRA Post-70½ Payment Election – Form 2318 (Pricing Code 1)
- #80079 Required Minimum Distributions From Your Traditional IRA at Age 70½ (Pricing Code 2)
- #80102 Required Minimum Distributions From Your Traditional IRA After Age 70½ (Pricing Code 2)

\* Unless otherwise noted, these forms are available for organizations on the Fully-Administered and Self-Administered Programs.



## Benefit Claims

### Beneficiary and Benefit Claims Processing

- #80025 Traditional IRA Selection of Survivor Benefits – Form 2321T (Pricing Code 1)
  - Form 2321T (Pricing Code 1)
- #22550 Roth IRA Selection of Survivor Benefits – Form 2421R (Pricing Code 1)
  - Form 2421R (Pricing Code 1)
- #27309 Beneficiary Payment Options for Traditional IRAs (Death Before Required Beginning Date) (Pricing Code 2)
  - IRAs (Death Before Required Beginning Date) (Pricing Code 2)
- #27373 Beneficiary Payment Options for Traditional IRAs (Death On or After Required Beginning Date) (Pricing Code 2)
  - IRAs (Death On or After Required Beginning Date) (Pricing Code 2)
- #27374 Beneficiary Payment Options for Roth IRAs (Pricing Code 2)
  - IRAs (Pricing Code 2)
- #80018 Death Notice – Form 2320 (Pricing Code 1)
  - Form 2320 (Pricing Code 1)



### eResource Center

The *eResource Center* is full of information and tools to help you improve your IRA and savings plan programs. Be sure your IRA and marketing experts have access to this online resource so they can enroll for *eBrochures* and review sample lobby brochures, newspaper ads, and compliance and industry updates, as well as our many training opportunities. For IRAdirect users, the *eResource Center* link can be found on the IRAdirect homepage. Have questions about accessing the *eResource Center*? Call **800-356-9140**.

\* Unless otherwise noted, these forms are available for organizations on the *Fully-Administered* and *Self-Administered Programs*.

- For *Self-Administered Program* clients only.
- For *Fully-Administered Program* clients only.



# Plan Establishment



## SEP Plans

Simplified employee pension (SEP) plans provide a unique retirement plan solution with tax benefits to small businesses and are easy to administer. Business owners have several plan options to choose from.

### Prototype Plans

#### #400 Standard SEP Prototype Plan Kit

This easy-to-use IRS-approved kit includes the following.

- Employer Eligibility Form
- Plan Document
- Adoption Agreement
- Summary for Employees

#### #410 Universal SEP Prototype Plan Kit

This IRS-approved kit allows an employer to either establish or update a SEP plan, a salary reduction SEP (SAR-SEP) plan, or a combination plan (allowing employer and employee contributions).\* This kit includes all the pieces offered in our Standard SEP Prototype Plan kit plus the following.

- Salary Reduction Agreement
- Discrimination Test Worksheet
- Top-Heavy Test Worksheet
- Notification of Excess Elective Deferrals/ Notification of Disallowed Deferrals

*\*SAR-SEP plans may no longer be established. Existing plans established before January 1, 1997, however, may continue to be updated and funded.*

#### SEP Prototype Plan Employer Establishment Kits\*

##### #400 Standard SEP Plan

8½ x 11 Kit \$6.67 each

##### #410 Universal SEP Plan

9 x 12 Kit \$6.67 each

\*Available to financial organizations that sponsor the appropriate prototype plan documents.

Updated for 2016

#### #411 and #421 SEP Plan Employee Information Booklets

The Department of Labor requires employers to provide a summary of the SEP plan to employees. These booklets are a simple solution to satisfy this requirement.

#### SEP Prototype Plan Employee Information Booklets\*

##### #411 Universal SEP Plan

5½ x 8½ Booklet

Quantity	25	50	100	250
Nonimprint	\$42	\$75	\$136	\$308

##### #421 Standard SEP Plan

5½ x 8½ Booklet

Quantity	25	50	100	250
Nonimprint	\$38	\$68	\$123	\$278

\*Available to financial organizations that sponsor the appropriate prototype plan documents.

**To enroll in the Ascensus SEP prototype plan document program, contact your Ascensus Sales Representative at 800-346-3860.**

**Need employee-level Traditional IRA opening documents? Refer to page 4 for additional information.**

#### IRS Model-Based SEP Plan Kit

##### #416 5305-SEP Plan Kit

This IRS model kit includes the following.

- General information about the plan
- Employer eligibility checklist
- Instructions to establish the SEP plan
- IRS 5305-SEP plan document

##### #416 5305-SEP Plan Kit

8½ x 11 Booklet \$4.02 each

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.



# Plan Establishment



## SIMPLE IRA Plans

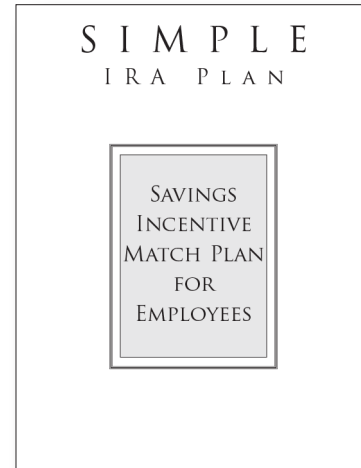
Savings incentive match plan for employees of small employers (SIMPLE) IRA plans are a cost-effective alternative to 401(k) plans.

### Prototype Plan

#### #600 SIMPLE IRA Prototype Plan Kit

The Ascensus SIMPLE IRA prototype plan allows financial organizations the flexibility of determining designated financial institution (DFI) status. This IRS-approved kit includes the following.

- "About the SIMPLE IRA Plan" Feature Sheet
- Eligibility Form
- Adoption Agreement
- Basic Plan Document
- Participation Notice & Summary Description
- Salary Reduction Agreement
- Instructions for Establishing the SIMPLE IRA Plan



To enroll in the Ascensus SIMPLE IRA prototype plan document program, contact your Ascensus Sales Representative at 800-346-3860.

Need employee-level SIMPLE IRA opening documents? Refer to page 4 for additional information.

Updated for 2016

#### #600 SIMPLE IRA Prototype Plan Employer Establishment Kit\*

8½ x 11 Kit \$6.67 each

\*Available to financial organizations that sponsor the appropriate prototype plan documents.

Updated for 2016

### IRS Model-Based SIMPLE IRA Plan Kits

#### #516 5305-SIMPLE IRA Plan Kit (For use as a DFI)

This IRS model kit includes the following.

- General information about the plan
- Employer eligibility checklist
- IRS 5305-SIMPLE plan document and instructions
- Participation Notice & Summary Description
- Salary Reduction Agreement

#### #517 5304-SIMPLE IRA Plan Kit (Not subject to DFI rules)

This IRS model kit includes the following.

- General information about the plan
- Employer eligibility checklist
- IRS 5304-SIMPLE plan document and instructions
- Participation Notice & Summary Description
- Salary Reduction Agreement

#### #516 5305-SIMPLE IRA Plan Kit

8½ x 11 Kit \$4.02 each

#### #517 5304-SIMPLE IRA Plan Kit

8½ x 11 Kit \$4.02 each

Visit the quick link at [www.ascensus.com](http://www.ascensus.com) for a current version of the Printed Forms Checklist.

# Plan Establishment



## Qualified Retirement Plans

Ascensus' IRS-approved defined contribution qualified retirement plan (QRP) prototype plan documents are easy to use and provide you with a competitive advantage in the market.

### PPA Prototype Plan Document Adoption Agreements\*

Plan Type	Form Number	Plan Type	Form Number
<b>Super Simplified – ideal for employers who prefer to select only the basic provision choices such as eligibility and entry dates</b>		<b>Flexible – provides more extensive provisions to meet most employers' business objectives</b>	
<b>Profit Sharing</b>		<b>Profit Sharing</b>	
Standardized	#4210	Standardized	#4230
		Nonstandardized	#4233
<b>Money Purchase Pension</b>		<b>Money Purchase Pension</b>	
Standardized	#4211	Standardized	#4231
<b>Individual(k)<sup>TM</sup></b>		<b>401(k)</b>	
Standardized	#4212 or #4312	Standardized	#4232
		Nonstandardized	#4235
<b>Simplified – offers simplicity, while including key small business provisions, such as vesting options and Social Security integration</b>		<b>Comprehensive – accommodates highly customized plan designs on a sophisticated document</b>	
<b>Profit Sharing</b>		<b>Profit Sharing</b>	
Standardized	#4220	Standardized	#4240
Nonstandardized	#4223	Nonstandardized	#4243
<b>Money Purchase Pension</b>		<b>Money Purchase Pension</b>	
Standardized	#4221	Standardized	#4241
Nonstandardized	#4224	Nonstandardized	#4244
<b>401(k)</b>		<b>401(k)</b>	
Standardized	#4222	Standardized	#4242
Nonstandardized	#4225	Nonstandardized	#4245

\*Available to financial organizations that sponsor the appropriate prototype plan documents.

# Plan Establishment



## Qualified Retirement Plan Kits

Each IRS-approved kit includes the following.

- Adoption Agreement
- Basic Plan Document
- Employee Data Worksheet (Form #208)
- Designation of Beneficiary (Form #481)

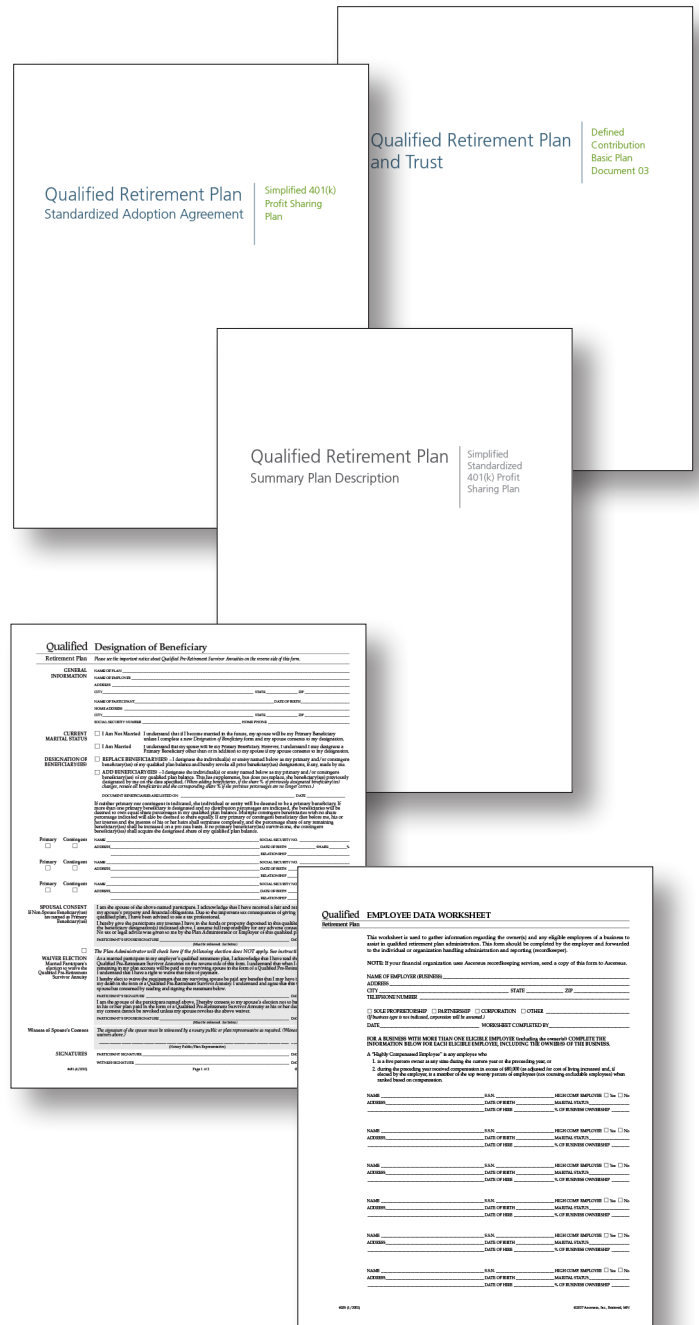
### #4200-KT Qualified Retirement Plan Kit

9 x 12 Kit Includes one adoption agreement \$14.50

### #4300-KT Individual(k) Plan Kit

9 x 12 Kit Includes one adoption agreement \$11.30

**IMPORTANT:** To properly establish or restate a defined contribution qualified retirement plan, employers must receive a basic plan document, an adoption agreement, a copy of its IRS favorable opinion letter, and any applicable interim amendments. Employers also should receive a summary plan description (SPD) and any other participant-level notices that are applicable to the types of plans being established or restated. All of Ascensus' prototype plan document sponsors receive qualified retirement plan supplemental documents and instructions for such amendments, SPDs, and notices.



For a complete list of QRP transaction forms, see page 22.

# Plan Maintenance



## QRP Document Service Options

The Pension Protection Act of 2006 (PPA) and other guidance have made profound changes that affect QRP operations, including 401(k), profit sharing, and money purchase pension plan rules. The IRS is requiring that all QRP documents be replaced with updated documents that incorporate those changes. As one of the nation's largest providers of QRP documents, Ascensus can supply you with all of your new PPA plan documents and offer QRP program support.

### Ascensus PPA Documents

Ascensus' PPA documents are easy to use and provide plan document sponsors with a competitive advantage in the QRP market. The Ascensus PPA document is

- tailored to fit today's market,
- comprehensive for takeover business,
- simplified for mass marketing, and
- priced appropriately.

As an Ascensus plan document sponsor, depending on your business needs, you may receive your PPA documents in preprinted kits, through a copyright license agreement, or through Ascensus' *Plan Adoption System*<sup>™</sup>(PAS). You also will automatically receive future discretionary and required amendments to incorporate subsequent changes in QRP rules. Ascensus' documents include materials for communicating the changes to your employer plan clients and supplemental materials, such as participant notices.

### Plan Adoption System<sup>™</sup>

Ascensus' PAS is an online application that organizes and selects the documents necessary to establish QRPs. It applies compliance logic to help you easily complete the plan establishment process and track plan documents. PAS also includes dynamic summary plan description (SPD) generation, based on the adoption agreement and elections.

### Enhanced Service Amendment Mailing and Restatement Services

To help you inform your employer plan clients about changes in QRP rules, Ascensus can coordinate and fulfill discretionary and required amendments, including plan restatements, to your employer plan clients. Optional services include tracking employer plan client responses for signature events and taking employer plan client calls regarding the amendment.

### Enhanced Service Document Compliance Service

As a plan document sponsor, keeping up with amendment mailings and restatements can be a complicated, time-consuming, and costly process. When you sign up for Ascensus' Document Compliance Service (DCS), Ascensus will handle the amendment and restatement process directly with your employer plan clients. For new plans, Ascensus will prepare all required prototype plan documents, including the SPD, and send them directly to the employer. Your employer plan clients and financial advisors have access to an Ascensus call center to get the answers to their plan document and amendment questions. DCS is an annual service and includes all amendments pertaining to rule changes each year in addition to complete restatement services every six years.

### Enhanced Service Prototype Document Service

Ascensus can become your total outsource solution by taking care of the amendment and restatement processes for you and by being the prototype plan document sponsor for all your current and future employer plan clients. With the Prototype Document Service, Ascensus takes on all of your responsibilities as the plan document sponsor—including maintaining employer client data, maintaining plan document and amendment requirements and history, ensuring that employers adopt required amendments timely, and notifying the employers of disqualification issues. This service creates an ongoing agreement between Ascensus and each of your employer plan clients, who will have access to an Ascensus call center to get the answers to their plan document and amendment questions.



## Enhanced Services

	Financial Organization Document Sponsorship	Plan Adoption System	Fulfillment	Ongoing Document Amendments	Ascensus Document Sponsorship	Call Center
Amendment Mailing and Restatement Services						<b>Optional</b>
Document Compliance Service						
Prototype Document Service						

**How efficient is your QRP program?**

**How much time do you spend updating your QRP documents?**

**Overwhelmed by the responsibilities of operating your QRP program?**

**Thinking about getting out of the QRP business?**

Before making any decisions about your QRP program, contact your Ascensus Sales Representative at 800-346-3860. Find out how we can help streamline your plan establishment process and simplify your plan amendments and restatements.

# Plan Maintenance



## QRP Transaction Forms

### #203 Deposit Form (Pricing Code A1)

This form documents deposits as well as investment changes.

### #208 Employee Data Worksheet (Pricing Code A3)

This form is used to gather information regarding the owners and any eligible employees of a business to assist in plan administration.

### #222 Qualified Plan Transfer Request (Pricing Code A1)

This form is used to authorize the transfer of plan assets and highlights the key issues an employer should consider when making a transfer of plan assets.

### #223 Withholding Reminder Notice (Pricing Code A1)

The law requires a withholding notice at least annually to plan participants receiving certain periodic distributions. This form helps to keep your clients current on tax withholding rules and reminds them of the withholding elections previously made.

### #272 401(k) Enrollment/ Investment Selection Form (Pricing Code A1)

With this form, employees can easily indicate their salary deferral status, select from the investment options available under the plan, and choose how they want their 401(k) contributions invested.

### #481\* Designation of Beneficiary (Pricing Code A1)

This form provides for designation of beneficiary and allows plan participants and their spouses to waive the qualified preretirement survivor annuity. All notices required as a part of the annuity waiver are provided on this form.

### #482\* Distribution Notice (Pricing Code A2)

This form contains all of the IRS-required information (under IRC Sec. 402(f)) that a plan administrator needs to provide to plan participants when distributions are made.

### #486\* Application For Distribution (Pricing Code A1)

Plan participants use this form to request distributions and to waive the qualified joint and survivor annuity and federal income tax withholding (Form W-4P).

## QRP Transaction Forms Pricing

### Pricing Code A1

Multi-Part, Carbonless, 8½ x 11

Quantity	50	100	250	500**
Nonimprint	\$41	\$69	\$140	\$220

### Pricing Code A2

Multi-Page, 8½ x 11

Quantity	50	100	250	500**
Nonimprint	\$41	\$69	\$140	\$220

\*\*Additional quantities are available at a reduced fee.

### Pricing Code A3

1-Part, 8½ x 11

Quantity	50	100	250	500**
Nonimprint	\$17	\$32	\$65	\$105
Imprinted*	\$24	\$42	\$80	\$135

\* Imprinting includes up to four lines of type (black ink).

\*\* Additional quantities are available at a reduced fee.

### #237 QRP Plan Administrator's Guide

### #279 401(k) Plan Administrator's Guide

These guides are quick reference tools for plan administrators using Ascensus' defined contribution prototype plan document. These booklets are intended to alert plan administrators to various concepts and issues that are common to plan operations.

5½ x 8½ Booklet

Quantity	50	100	250	500**
Nonimprint	\$65	\$124	\$303	\$540

\*\*Additional quantities are available at a reduced fee.

### #221 QRP Loan Kit

This kit contains everything a plan administrator using Ascensus' defined contribution prototype plan needs—including loan policy, loan application, and loan agreement.

8½ x 11, multiple pages with cover wrap \$10.02 each

## Ascensus Offers 404(c) Compliance Assistance

ERISA Section (Sec.) 404(c) allows employers to shift responsibility for investment direction to the participants. Ascensus has all the resources available to help you assist employers with ERISA Sec. 404(c) compliance.

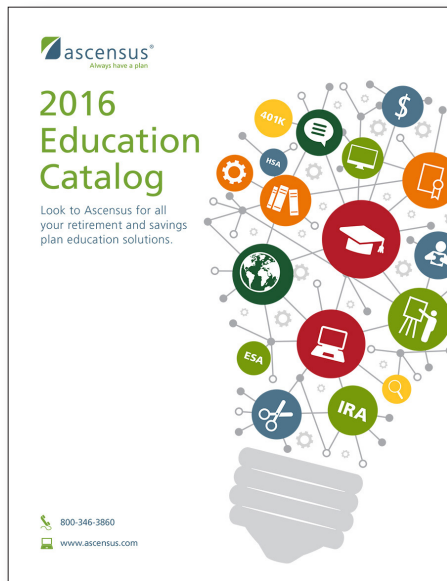
#760 Employee Investment Handbook

#761 ERISA Section 404(c) Employer Guidelines

#762 404(c) Employee Information Sheet

Contact your Ascensus Sales Representative for pricing.

\*Certain profit sharing and 401(k) plans are not required to provide annuities as the standard form of benefit. These are referred to as REA safe harbor plans. Ascensus' QRP transaction forms can be used with either safe harbor or nonsafe harbor plans.



## Learn From Ascensus' Professional Trainers

Ascensus is the foremost provider of retirement and savings plan education. We deliver training that simplifies processes and promotes growth within financial organizations.

Choose from multiple delivery methods of training for you and your staff: instructor-led training, distance learning, and internal training products.

**Visit [www.ascensus.com](http://www.ascensus.com) for a current listing of available education events.**

### Looking for continuing education credits?

Earning and maintaining a professional designation is an excellent way to obtain proficiency. It also proves your dedication to developing your career. Ascensus programs are submitted for numerous designations, including CISP, CTFA, CRSP, CFP, CIS, and CIP.

**Contact Ascensus at 800-346-3860 or 800-356-9140, to learn if specific continuing education credits have been approved.**

## Resource Solutions

### Lobby Brochures

Ascensus' lobby brochures provide your clients with general consumer education about the retirement and savings plan products that your organization promotes. Use lobby brochures separately or package them with your organization's other promotional materials.

### Technical References

Provide your clients more efficient, quality service and stay in compliance while supporting your knowledge base with Ascensus' retirement and savings plan desktop guides and comprehensive reference materials.

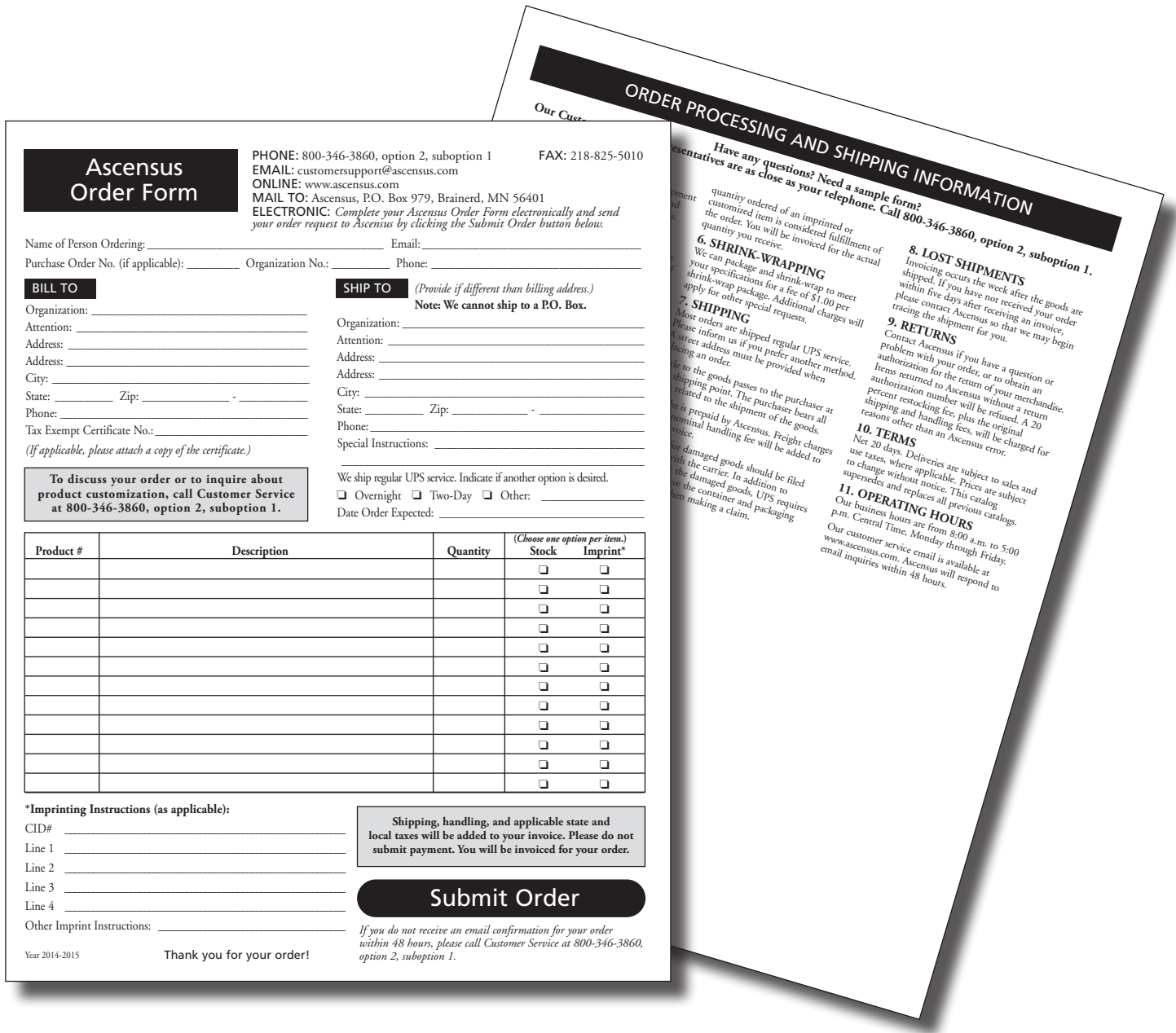
### Training Products

Ascensus knows that a successful retirement or savings plan program depends on a well-trained team. But conducting your own training can be challenging and time-consuming. Ascensus' training products provide everything you need for effective retirement and savings plan training—at your pace and on your schedule.

**Visit the Resource Solutions eCatalog at [www.ascensus.com/catalogs](http://www.ascensus.com/catalogs).**



# Order Form



**Ascensus Order Form**  
 PHONE: 800-346-3860, option 2, suboption 1 FAX: 218-825-5010  
 EMAIL: customersupport@ascensus.com  
 ONLINE: www.ascensus.com  
 MAIL TO: Ascensus, P.O. Box 979, Brainerd, MN 56401  
 ELECTRONIC: Complete your Ascensus Order Form electronically and send your order request to Ascensus by clicking the Submit Order button below.

Name of Person Ordering: \_\_\_\_\_ Email: \_\_\_\_\_  
 Purchase Order No. (if applicable): \_\_\_\_\_ Organization No.: \_\_\_\_\_ Phone: \_\_\_\_\_

**BILL TO**

Organization: \_\_\_\_\_  
 Attention: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City: \_\_\_\_\_  
 State: \_\_\_\_\_ Zip: \_\_\_\_\_ - \_\_\_\_\_  
 Phone: \_\_\_\_\_  
 Tax Exempt Certificate No.: \_\_\_\_\_  
 (If applicable, please attach a copy of the certificate.)

**SHIP TO** (Provide if different than billing address.)

Organization: \_\_\_\_\_  
 Attention: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City: \_\_\_\_\_  
 State: \_\_\_\_\_ Zip: \_\_\_\_\_ - \_\_\_\_\_  
 Phone: \_\_\_\_\_  
 Special Instructions: \_\_\_\_\_

**To discuss your order or to inquire about product customization, call Customer Service at 800-346-3860, option 2, suboption 1.**

We ship regular UPS service. Indicate if another option is desired.  
 Overnight  Two-Day  Other: \_\_\_\_\_  
 Date Order Expected: \_\_\_\_\_

Product #	Description	Quantity	(Choose one option per item.)	
			Stock	Imprint*
			<input type="checkbox"/>	<input type="checkbox"/>
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\*Imprinting Instructions (as applicable):  
 CID# \_\_\_\_\_  
 Line 1 \_\_\_\_\_  
 Line 2 \_\_\_\_\_  
 Line 3 \_\_\_\_\_  
 Line 4 \_\_\_\_\_  
 Other Imprint Instructions: \_\_\_\_\_

Shipping, handling, and applicable state and local taxes will be added to your invoice. Please do not submit payment. You will be invoiced for your order.

**Submit Order**

Year 2014-2015 Thank you for your order!

If you do not receive an email confirmation for your order within 48 hours, please call Customer Service at 800-346-3860, option 2, suboption 1.

## Download order form.