

Establishing, amending, and restating plans made easy with *Ascensus' Pre-Approved Plan Document Sponsorship Service*



Initiate services today for an annual fee of \$175

Ascensus provides a total outsource document solution for qualified retirement plans by becoming the pre-approved plan document sponsor—relieving your administrative burdens associated with document sponsorship. Our service allows you to focus on your clients while our experts focus on the IRS-required pre-approved plan document sponsorship duties, ongoing document maintenance, and ever-changing document compliance.

## Features

### Documents

You get access to Ascensus' full suite of 401(k), Individual(k), Profit Sharing and Money Purchase adoption agreements that are reviewed upon completion to make sure they're in compliance.

### Web-based

Ascensus does all of the document processing—your clients complete the online plan design questionnaire and their documents are delivered through a secure web portal and can be signed electronically.

### Financial advisor notifications

You are copied on communications Ascensus delivers to your clients.

### Customized summary plan description (SPD)

An SPD is generated based on the plan provisions selected by your clients in the online plan design questionnaire.

### Future compliance

Ascensus provides all amendments required to keep plans in compliance and helps your clients restate their plan documents every six years as required by the IRS.


### Voluntary Correction Program (VCP) service\*

Ascensus can assist your clients in completing the IRS' VCP if they failed to timely restate their plan documents or failed to amend their documents for other IRS required changes.

### Customer service center

You and your clients can get your document and amendment questions answered by Ascensus' experts using one of the below methods.

\*Additional fees apply

 800-591-2439

 DocCompliance-UBS@Ascensus.com

 <https://dcs.ascensus.com/ubs/>