



ROLES AND RESPONSIBILITIES

	Investment Platform	MAP	Employer	Financial Advisor
Plan Set-up and Services				
Design plan		✓	✓	
Prepare and execute document, file with IRS, if necessary		✓	✓	
Coordinate electronic contributions process with payroll service and plan sponsor	✓		✓	
Prepare employee enrollment materials	✓			
Provide website and 1-800 interactive voice response access	✓			
Provide internet access to our participant website	✓			
Provide relevant information regarding fidelity bond		✓		
Conduct group enrollment meetings	✓	✓	✓	✓
Conduct individual enrollment meetings				✓
Provide ongoing document updates when required by IRS		✓		
Assess the needs of the plan on an ongoing basis	✓	✓	✓	✓
Request a Plan EIN if necessary		✓		
Administration and Recordkeeping				
Allocate contributions by money source and type	✓		✓	
Recordkeep earnings	✓			
Process investment changes and transfers	✓			
Keep records of individual accounts	✓			
Process distributions from the contract	✓	✓	✓	
Determine distribution eligibility		✓		
Calculate vesting		✓		
Calculate income withholding tax, if applicable	✓			
Provide deposit confirmations	✓			
Complete loan paperwork		✓	✓	
Recordkeep and report loan activity	✓		✓	
Value and summarize plan annually		✓		
Final ACP/ADP Testing		✓		
Top Heavy Test		✓	✓	
Prepare all IRS non-discrimination testing		✓		
Prepare Summary Annual Report		✓		
Prepare 1099R Form and pay all Federal & state tax deposits	✓	✓		
Prepare consolidated Audit Package for Form 5500 preparation	✓			
Prepare IRS reporting Form 5500 and related schedules		✓		
Complete annual compliance questionnaire			✓	
Provide census data to MAP			✓	
Work with Plan Auditor, if necessary		✓	✓	
Continuing Communications and Education				
Participant Statements (quarterly, semi-annually or annually)	✓			
Review Plan Design, changes in business structure, M&A		✓	✓	
Quarterly employer financial statements and plan administrator reports	✓			
Quarterly participant newsletters	✓			
Corporate report: participant overview (quarterly, semi-annually or annually)	✓			
Annual employer financial statement	✓			
Annual investment management update	✓			✓
Continuing education	✓	✓	✓	✓