Partner Questionnaire

Company Information

1. Company Name

2. Company Address

3. Company City, State & Zip

4. Will American Trust complete your invoicing?

☐ Yes ☐ No

If yes, please submit a detailed breakdown of your fee schedules and which fees apply to the Plan Accounts.

5. What plan-level fees are applied on a pro-rata basis and what fees are applied on a per capita basis?

6. How often do you generate Trust Reports?

☐ Monthly ☐ Quarterly ☐ Annually ☐ Other

7. What is your notification campaign and timeline for informing Sponsors and Participants that their web experience will change?

8. What recordkeeping system do you use?

If you answered Relius, what version are you using? ______________________

If you answered Relius, are you using the Relius Mobile App?

☐ Yes ☐ No

9. Are your plan assets currently with Mid-Atlantic or another custodian?

☐ Yes ☐ No

If no, please provide custodian name?

10. Do you use a unique identifier in your account numbers?

☐ Yes ☐ No

If yes, please describe the identifier. ______________________

Please continue to the next page.

Enrollment Processes

11. What online enrollment experience (if any) is provided to a newly eligible participants?

☐ Relius ☐ iJoin ☐ Vwise ☐ Other ☐ None

12. Do you have any plans that use hardcopy enrollment?

☐ Yes ☐ No

13. Do you provide enrollment kits to plan sponsors?

☐ Yes ☐ No

If yes, in what format are they provided (i.e. hardcopy, online, etc.)? ______________________________

14. What do the enrollment kits include (i.e. SPDs, plan highlights, fee disclosure, safe harbor notices, enrollment form, deferral change form, etc.)?

15. If you offer in Spanish check the applicable boxes.

☐ Enrollment Materials ☐ Enrollment Forms ☐ Website ☐ Distribution Forms

☐ Other ______________________________

Investment Information

16. Do any of your plans have self-directed brokerage accounts?

☐ Yes ☐ No

If yes, which platform(s) and how are they record kept? ______________________________

17. Do you have any funds that are non-tradeable (i.e. Employer Stock, Receivables, etc.)?

☐ Yes ☐ No

18. Do your plans hold funds that pay revenue share?

☐ Yes ☐ No

If yes, how are these monies segregated and then dispersed?
(Offset to Invoice, allocate to Participant or other) ______________________________

19. Do you have any plans that utilize models?

☐ Yes ☐ No

If yes, how are those managed? ______________________________

20. If MATC is custodian: Do you use ModelxChange via MATC?

☐ Yes ☐ No

If yes, how many plans have these funds in their investment lineup? ______________________________

21. Does your firm offer 3(21) and/or 3(38) fiduciary services?

☐ Yes ☐ No

Contribution Submission

22. How do clients submit contributions to you?

☐ 180 Payroll Integration ☐ 360 Payroll Integration ☐ Excel File Uploads ☐ Other

Please continue to the next page.

23. Which payroll providers do you have 180 or 360 integration with?

24. What payment methods do you accept?

If any, which method is your primary?

If you answered ACH, is that information maintained in the system at the plan level?

25. Do you have any plans with divisions and/or multiple ACH accounts?

☐ Yes ☐ No

26. What form of payment do you allow for loan repayments?

Are payroll deductions submitted with the contribution file? ☐ Yes ☐ No

Are payroll deductions submitted with personal check? ☐ Yes ☐ No

27. What is your procedure for late deposits?

28. What are your Rollover/Cash-out procedures?

29. What are your lost participant procedures?

31. Relius user, do you have tasks in your STP task Scheduler?

☐ Yes ☐ No

If, yes please provide an explanation

Plan Specifications

32. Do you track eligibility in the system or external from the system?

☐ Yes ☐ No

33. Do you track deferral changes?

☐ Yes ☐ No

If yes, how are those communicated to you and then to the sponsor?

34. Are plan provisions maintained in the system?

☐ Yes ☐ No

35. Do you have any plans that have Auto Enroll and/or Auto Deferral Increase provisions?

☐ Yes ☐ No

If yes, how are those managed?

36. Do you have any RMDs?

☐ Yes ☐ No

If yes, when are they scheduled to be processed next? ______________________

37. Do you have any plans with installment payments?

☐ Yes ☐ No

38. Do you have an Auto Rollover provider?

☐ Yes ☐ No

If yes, who is that provider? ______________________

Will the same provider be used going forward for existing plans? ______________________

39. When are 1099s issued?

☐ With distribution ☐ Annually

Plan Information

40. Are plan contacts maintained in Relius or another system such that the information can be readily available to import when needed?

☐ Yes ☐ No

41. Is there any plan-level information held elsewhere other than the recordkeeping system?

☐ Yes ☐ No

42. Can sponsors/participants make updates to their addresses online or via the call center? (Check all that apply)

☐ Online ☐ Call Center

43. Do you allow fund changes on your plans?

☐ Yes ☐ No

If yes, how are those communicated to you? ______________________

44. Do you have any plans with external TPAs?

☐ Yes ☐ No

45. Are advisors/TPAs paid from plan assets?

☐ Yes ☐ No

If no, how are those advisors/TPAs paid? ______________________

What is the frequency of payment to advisors/TPAs? ______________________

46. Do you restrict access to the web information based on profiles?

☐ Yes ☐ No

If yes, provide an explanation for each security profile. ______________________

47. Do your web users enter the site via Multifactor Authentication (MFA)?

☐ Yes ☐ No

If yes, explain the MFA process for users. ______________________

48. Do you offer an auto rebalance feature?

49. What types of QDIAs are setup for your Plans?   i.e. Models, TDFs, etc. Please provide an explanation.

50. Are Opt-in, Opt-Out E-delivery options in place?

☐ Yes ☐ No

If, yes how is the election tracked? ______________________

51. Explain your Annual Notice Delivery Time-Frame and procedure?

52. What online services are available to plan participants today? Check those that apply

☐ Personal Information Changes ☐ Distributions/Loans ☐ Beneficiary Changes ☐ Deferral Rate Changes

☐ Other ______________________

53. Does your firm off 3(16) Services?

☐ Yes ☐ No

If yes, what services do you provide? ______________________

54. What systems do you use for the following:

Compliance Test ______________________

Form 5500 ______________________

Plan Documents ______________________

55. Does your firm use PensionPro?

☐ Yes ☐ No

Please provide a copy of your proposal, service agreement, fee schedule and enrollment materials.