



Plan Year Compliance **Packages**

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Plan Year Compliance Package

With the ever increasing need for complete disclosure; managing and maintaining all of the documents, forms, testing results, tax filings, etc. has become a daunting and exhaustive task. In addition, the regulatory agencies charged with auditing and investigating retirement plans continue to raise their expectations with respect to the formal policies and procedures implemented and maintained by retirement Plan Sponsors in order to facilitate the compliant operation of their plan.

Legacy is here to help your Company satisfy these requirements and expectations by offering 3 different levels of Plan Year Compliance reporting for the Defined Contribution plans from our Standard and our Plus, right up to our Premium. Each Plan Year report is designed to help your Company maintain a “single source” organized and streamlined record of a prior Plan Year’s operation. We also have a compliance package for our Defined Benefit/Cash Balance Plans. Below is a listing of each Plan Year Compliance package offered along with a list of included reports and pricing. Please contact us for more information.



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Solutions, LLC**

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<u>Standard Package</u>	<u>Plus Package</u>	<u>Premium Package</u>	<u>Defined Benefit Package</u>
1. Summary of Test Results 2. Eligibility Status 3. 410(b) Test 4. Deductibility Test 5. Annual Additions Report 6. ADP/ACP Test 7. ADP/ACP Corrections 8. HCE & Key Determination 9. Top Heavy Report \$250 – Flash Drive \$350 – Hardcopy Binder	1. Standard Package 2. Basic Plan Document 3. Adoption Agreement 4. Summary Plan Description 5. SAS-70 Recordkeeper 6. Form 5500 7. Summary Annual Report 8. 5500 Reconciliation 9. Safe Harbor Notice \$400 – Flash Drive \$500 – Hardcopy Binder	1. Plus Package 2. Auditor Report 3. Administrative Report 4. Trust Report 5. Loan Summary Report 6. Investment Policy Statement* 7. 404(a)(5) Notice* 8. Auto Enrollment Notice* 9. QDIA Notice* \$500 – Flash Drive \$600 – Hardcopy Binder	1. Valuations 2. Summary of Plan Provisions 3. Form 5500 with all applicable schedules 4. SAR 5. Plan Document 6. Adoption Agreement 7. SPD 8. Amendments 9. Participant Statements 10. Trust Rpt/Brokerage Account statements 11. AFTAP – Adjusted Funding Target Attainment Percentage 12. AFN – Annual Funding Notice 13. PBGC Filing, if applicable \$500 – Flash Drive \$600 – Hardcopy Binder

***If applicable and subject to third-party provision of such documents, if necessary**



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