

## SunGard's Relius Documents Prototype Plans

As an IRS-approved Mass Submitter, Relius Documents provides **complete prototype plan services for all type of entities**, including banks, insurance companies and other financial institutions, employee benefit consultants, attorneys and CPA firms.

Prototype plans are pre-approved plans by the Internal Revenue Service under the Master and Prototype program. A Master and Prototype consists of a basic plan document and an adoption agreement. The basic plan document contains all the non-elective provisions. The adoption agreement contains the options which may be selected by elective provisions and options which may be selected by the adopting employer. A Master and Prototype may be standardized or non-standardized.

View a list of all the **prototype document types**. Also, learn about the 'prototype formatted' volume submitter plan.

Relius Documents prototype plan preparation services, you have one source for the plan, supporting forms, IRS submission package, **custom printing**, and **SPD booklets** using our Relius Documents **PC** or **ASP** system or our **Service Bureau**. Each supporting forms package can include a printed adoption agreement (through the Relius Documents system) along with all associated forms including the summary plan description, administrative forms, plan administrator's guide, and plan index.

You can eliminate the need to spend time on research and IRS interaction. Relius Documents submits your prototype to the IRS on your behalf; you just pay the user fees.

Using Relius Documents **Corbel** or **PPD** prototype can dramatically reduce your cost. A quick comparison of IRS user fees tells the story.

### IRS User Fees For Approval Of A Prototype:

Mass Submitter Prototype	\$200 per Adoption Agreement
Minor Modifier Prototype	\$650 per Adoption Agreement
Non-Mass Submitter Prototype	\$9,000 per Adoption Agreement

### Benefits

- Eliminate the significant time expenditure necessary to develop and maintain an individually-drafted prototype
- Reduce or eliminate the IRS user fee(s)
- Eliminate IRS requests for minor plan corrections
- Ease of compliance with the continual plan update requirements
- Minimize negative client response to the continual plan update process
- Reduce client cost for plan updates while improving the economics of the practitioner's ERISA practice
- Minimize the potential for plan drafting errors
- Improve consistency of plan documentation
- Ease plan administration

**Support Services**

- **Educational Programs** - We conduct more than 125 pension educational seminars each year. These programs are designed specifically for plan administrators and plan sponsors.
- **Integrated Software Support - Relius Documents** is a document generation solution available to create prototype supporting forms packages. With Relius Documents system, you can prepare a customized package for each client's plan, complete with filled-in Adoption Agreement, SPD customized to the plan, participant election and administrative forms, plan administrator's guide, index, and IRS submission forms 5300/5307.

For more information about Relius Documents Prototype Plans, call 800-326-7235, ext. 1100.

## Defined Contribution "Prototype Formatted" Volume Submitter

As an IRS-approved Mass Submitter, SunGard's Relius Documents provides **complete "prototype formatted" volume submitter plan services for all type of entities**, including banks, insurance companies and other financial institutions, employee benefit consultants, attorneys and CPA firms.

Relius Documents defined contribution "prototype formatted" volume submitter (formerly the cross-tested volume submitter) includes both cross-tested and non-cross-tested allocation methods. This hybrid type of document looks just like a prototype but is submitted as a volume submitter. The document includes some provisions that are not permitted in prototype plans. For example, it allows multiple employer plans, non-safe harbor hardship withdrawals for elective deferrals, and the ability to offset allocations under the plan by contributions made to another plan.

In addition, the new "prototype formatted" volume submitter is offered in the same manner that our traditional prototype documents are offered (i.e., your firm will generally be the sponsor of the document). This allows you to make sponsor level amendments on your employers' behalf.

An employer using a volume submitter is entitled to the same reliance rules that apply to adopters of Non-Standardized plans. One difference between a prototype plan and a volume submitter plan is that if modifications are made to the plan, then the employer may generally submit the plan for a determination letter using IRS Form 5307 (as distinguished from IRS Form 5300 which requires a much higher IRS user fee and is generally required if an employer modifies a prototype plan and submits it for a determination letter). However, if a volume submitter plan is submitted for a determination letter, then the sponsor of the volume submitter plan (typically your firm) would need to have an individual who can serve as power of attorney on IRS Form 2848 (generally an attorney, enrolled actuary, CPA or enrolled IRS agent).

With Relius Documents "prototype formatted" volume submitter plan preparation services, you have one source for the plan, supporting forms, IRS submission package, **custom printing**, and **SPD booklets** using our Relius Documents **PC** or **ASP** system or our **Service Bureau**. Each **supporting forms package** can include a printed adoption agreement (through the Relius Documents system) along with all associated forms including the summary plan description, administrative forms, plan administrator's guide, and plan index.

View a list of all our **prototype document types**.

You can eliminate the need to spend time on research and IRS interaction. We even submit your pre-approved plan to the IRS on your behalf; you just pay the user fees!\*

\*License and annual maintenance fees applies in addition to the IRS user fees.

### IRS User Fees For Approval Of A Prototype or "Prototype Formatted" Volume Submitter:

Mass Submitter Prototype	\$200 per Adoption Agreement
Minor Modifier Prototype	\$650 per Adoption Agreement
Non-Mass Submitter Prototype	\$9,000 per Adoption Agreement

## **Defined Contribution “Prototype Formatted” Volume Submitter (Continued)**

### **Benefits**

- Eliminate the significant time expenditure necessary to develop and maintain an individually-drafted prototype
- Reduce or eliminate the IRS user fee(s)
- Eliminate IRS requests for minor plan corrections
- Ease of compliance with the continual plan update requirements
- Minimize negative client response to the continual plan update process
- Reduce client cost for plan updates while improving the economics of the practitioner's ERISA practice
- Minimize the potential for plan drafting errors
- Improve consistency of plan documentation
- Ease plan administration

### **Support Services**

**Educational Programs** - We conduct more than 125 pension educational seminars each year. These programs are designed specifically for plan administrators and plan sponsors.

Integrated Software Support - **Relius Documents** is a document generation solution available to create prototype supporting forms packages. With Relius Documents system, you can prepare a customized package for each client's plan, complete with filled-in Adoption Agreement, SPD customized to the plan, participant election and administrative forms, plan administrator's guide, index, and IRS submission forms 5300/5307.

For more information, call 800-326-7235, ext. 1100.

## Prototype Printing Services

Our professional printing services provide you with all the supplies you need, when you need them. Using Relius Documents to prepare your filled-in adoption agreements, you still need your plan documents in printed form. Don't wait. Get everything you need **now** so that you're ready to begin your restatements.

Printing options for your plan package include plan document, adoption agreement(s), and adoption agreement guide(s):

- Booklet form
- 3-hole punch
- Binder
- CD

### Order now.

For more information, call 800-326-7235, ext. 1100, or select the Contact Us on the top menu.

**Prototype Printing Services Order Form**

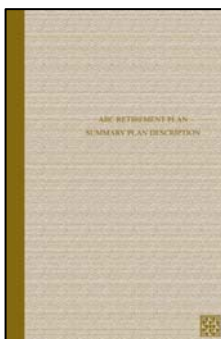
**ATTN: You must have already purchased the Basic Plan Documents, Adoption Agreements, or Adoption Agreement Guides prior to ordering these printing services.**

**STEP 1:** Select your Basic Plan Document/ Adoption Agreements to be printed. (PROPRNT)

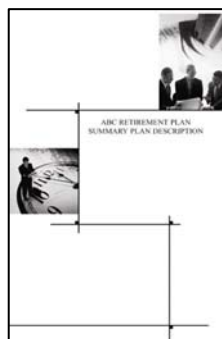
Non-Standard	Standard		Corbel	PPD
		<b>Defined Contribution COMPREHENSIVE</b>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Solo 401(k) Adoption Agreement	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	401(k) Adoption Agreement	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Profit Sharing Adoption Agreement	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Money Purchase Adoption Agreement	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Target Adoption Agreement	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	Solo 401(k) Adoption Agreement	<input type="checkbox"/>	
		<b>Defined Contribution FUNDAMENTAL</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Solo 401(k) Adoption Agreement	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	401(k) Adoption Agreement	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Profit Sharing Adoption Agreement	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Money Purchase Adoption Agreement	<input type="checkbox"/>	
	<input type="checkbox"/>	Solo 401(k) Adoption Agreement (Adoption Agreement Guide not available)	<input type="checkbox"/>	
		<b>Defined Benefit &amp; Trust</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Integrated	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Non-Integrated	<input type="checkbox"/>	
		<b>Other Plans:</b>		
<input type="checkbox"/>		Volume Submitter "Prototype" Plan Document (Adoption Agreement Guide not available)	<input type="checkbox"/>	<input type="checkbox"/>

**STEP 2:** Select the style that you wish to have on the cover.

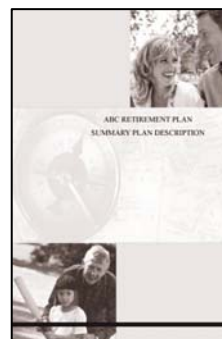
I.



II.



III.



IV.



## Prototype Printing Services Order Form (Continued)

**STEP 3:** Select the quantity you need. Price listed for each item.

	Quantities: 1-20 21+							
<b>Binder (PROBIN)</b> (1 1/2" 3-ring binder w/two pockets) (Includes cover, spine, tabs for Plan, Adoption Agreement(s), Adoption Agreement Guide(s), Administrative Forms, and Summary Plan Description)	_____	\$12.00	Call for pricing					
	<b>Quantities:</b>	25-49	50-99	100-199	200-299	300-499	500-999	1,000-4,999
<b>3-Hole Drill (8 1/2" x 11") (PROMSC)</b>								
Basic Plan Document	_____	8.00	7.75	7.50	7.25	7.00	6.75	6.50
Adoption Agreement(s)	_____	3.50	3.25	3.00	2.75	2.50	2.25	2.00
Adoption Agreement Guide(s)	_____	5.75	5.50	5.25	5.00	4.75	4.50	4.25
<b>Booklet Format (11" x 17" = 8 1/2" x 11" finished) (PROMSC)</b>								
Basic Plan Document	_____	17.25	17.00	16.50	16.25	16.00	15.75	15.50
Adoption Agreement Guide(s)	_____	9.25	9.00	8.75	8.50	8.25	8.00	7.75
<b>Stapled (8 1/2" x 11") (PROMSC)</b>								
Basic Plan Document	_____	8.00	7.75	7.50	7.25	7.00	6.75	6.50
Adoption Agreement(s)	_____	3.50	3.25	3.00	2.75	2.50	2.25	2.00
Adoption Agreement Guide(s)	_____	5.75	5.50	5.25	5.00	4.75	4.50	4.25

**CD** - \$285 per (PROPRNTCD) \_\_\_\_\_  
(Contains the Basic Plan Document and AA in a PDF file format with the Adobe Acrobat Reader)

Residents of the following states, please add sales tax: AL, AZ, CA, CO, CT, FL, GA, ID, IL, IN, LA, MA, MI, MN, MO, NC, NJ, NY, OH, PA, TN, TX, UT, WA, WI.

**STEP 4:** Complete the following:

**Logo Information** (Logos must be provided with this order form in hardcopy format.) (PROMSC):

Are you providing camera-ready logo?  NO  YES

Is logo colored?  NO  YES (additional charge for color printing)

**NOTE: Normal turnaround is 10 business days.**

**Shipping Information:** (Shipping charges not included in the above pricing.) (PROPTG)

UPS Regular (5 to 7 days)  2 Day Delivery  Overnight Delivery

Please check one:  Check payable to SunGard Corbel LLC.

Visa  MasterCard  American Express

Credit Card Number: \_\_\_\_\_ Card Expiration: \_\_\_\_\_

Cardholder Name: \_\_\_\_\_

Please check if new address

Name: \_\_\_\_\_ Firm Name: \_\_\_\_\_

Address: \_\_\_\_\_ City/State/Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Please send this form with your payment to SunGard, Attn: Accounting-Order Processing, PO Box 47470, Jacksonville, FL 32247 or fax the form to (if not providing logo) (904) 399-5551.

## SPD Booklet Printing

SunGard's Relius Documents professional printing services provide you with SPD booklets for your pension, cafeteria, or self-funded plans. By using the Relius Documents service to prepare SPD booklets for your clients' plans, you can create a significant revenue source for your company. The reduced fees are billed to your company, so you can decide what to charge your clients for the service. Relius Documents can print and mail professional booklets directly to your client (or to you) whenever you process a plan using **Relius Documents (ASP or PC)** or **Service Bureau**. In many cases, Relius Documents can convert your 8½" x 11" Microsoft Word document to a 5½" x 8½" folded booklet. SPD booklets are available in several cover styles, and can even be customized with your client's company logo.

### Benefits

- Save 30% less than a local print shop
- Significant revenue source for your company
- Accuracy on all levels no matter how you create your SPD Booklets

### Order Now.

#### Instructions For Relius Documents System (ASP or PC) Customers

You must have completed the following questions in the Document Information Section of the checklist in your Relius Documents system for each plan (project) prior to submitting your order to us for processing. If you are certain that you answered the questions appropriately, you can simply **Order** your booklets electronically now.

If you are NOT certain that you have answered all the questions in your Relius Documents system in order to process your SPD booklet order correctly, follow these steps:

- For step-by-step instructions on how to create SPD booklets for an existing plan (project) in Relius Documents, open the checklist for the project you would like to create SPD booklets (for ASP customers, [login here](#))
- Go to Document Information Section in the checklist
- Scroll down to the question allowing you to select SPD booklets
- Click on the Commentary box, which will give you step-by-step instructions on how to answer the checklist questions. Click on the link to submit your SPD booklet order electronically.

For more information, call 800-326-7235, ext. 1100.

## Prototype SFP

In order to process a prototype supporting forms package (SFP), you must sponsor the corresponding prototype plan document or have approval from the plan sponsor to complete the adoption agreement. You must provide us with a completed transmittal form and a completed checklist addendum. In addition you must submit a completed adoption agreement. The plan sponsor received blank adoption agreements when they purchased the prototype or the defined contribution volume submitter "prototype formatted" plan document.

Note: The Defined Contribution Volume Submitter "prototype formatted" documents listed in this section are volume submitter plans that include a separate basic plan document and adoption agreements. You must have purchased the Volume Submitter plan documents to order the supporting forms packages.

All prototype supporting forms packages can be processed through the Relius Documents Service Bureau **On-Demand Service** via the Internet or **Premium Fax-Mail Service** that provides a more 'hands-on' approach for processing your plan documents.

### Prototype and Cross-Tested plans for:

- Corbel Defined Contribution Comprehensive
- Corbel Defined Contribution Fundamental
- Corbel Defined Contribution Volume Submitter "prototype formatted"
- Corbel Defined Benefit
- PPD Defined Contribution Comprehensive
- PPD Defined Contribution Volume Submitter "prototype formatted"

### Select from several different Prototype supporting forms packages that include:

- Summary Plan Description, written in an easy-to-read Q&A format
- Administrative Forms (Corporate Resolution, Notice to Interested Parties, Beneficiary Designation Form, Enrollment Forms, etc.)
- IRS Tax Forms - such as the 5307, Schedule Q, and 2848
- Plan Administrator's Guide - a comprehensive tool to assist the Plan Administrator or Human Resource Manager in complying with the rules governing the day-to-day operations of the plan. It even has a compliance calendar!
- Index - a thumbnail sketch of the employer's elections - telling you where to find them in the Adoption Agreement and plan document

For more information, call 800-326-7235, ext. 1100.