

BRINGING EFFICIENCY TO THE Compliance Management Process

Why compliance matters

Serving an ERISA Plan Sponsor is both a rigorous and risky assignment. Overseeing the plan effectively takes disciplined processes, active monitoring of decisions, and thorough documentation.

Compliance missteps can lead to devastating fines, penalties, or judgments in the case of an audit or statutory lawsuit initiated by a plan participant. **Compliancedashboard® 401(k)** compliance management system provides fiduciary advisers with the tools to manage compliance risks for the Plan Sponsor client.

- ✓ Adviser-controlled compliance process
- ✓ Meets plan governance & plan administration compliance requirements
- ✓ Complete assessment & review document package
- ✓ Remote monitoring of all plan sponsor compliance activities
- ✓ Electronic plan document management
- ✓ On-demand & automated reporting capabilities

How Compliancedashboard® works



Every client's dashboard is customized based on their plan design to include only relevant requirements.



All plan compliance obligations and activities are viewed in a single customized calendar.



Email activity notices and follow-up reminders are based on a plan's governing documents.



Completed tasks, compliance reports, and plan reviews are uploaded to the company Document Manager.



Accountability reports can be generated for every plan sponsor engagement and required activity.

Call 800.881.0252 to schedule your Compliancedashboard® 401(k) demo today!

Making sense of compliance

Compliancedashboard®, the most widely used self-compliance tool for employer-sponsored health plans in the country, introduces **Compliance**dashboard® 401(k), a new fiduciary compliance management system for fiduciary advisers serving defined contribution plans.

The system is designed specifically for fiduciary advisers serving profit sharing, 401(k) and 403(b) plan sponsors. When implemented, **Compliance**dashboard® 401(k) fosters a **culture of compliance** at the plan sponsor level, while managed and controlled through its fiduciary adviser.

- ✓ Establishes specific and tangible controls and practices
- ✓ Addresses plan governance and plan administration components of ERISA regulations
- ✓ Provides internal and external compliance assessments, monitoring, and reviews
- ✓ Verifies that controls & procedures have been implemented and documented
- ✓ Mitigates fiduciary liability exposure

Compliancedashboard® provides the framework, tools, and resources that guide a fiduciary adviser in helping their plan sponsor client meet compliance management duties and responsibilities.

 <p>Full and limited scope compliance assessments</p>	 <p>Education and training tools for plan fiduciaries</p>	 <p>Scheduled plan governance and administration activities</p>	 <p>Monitoring & review questionnaires</p>	 <p>Forms & templates for committee activities</p>
 <p>Ability to remotely monitor plan fiduciaries' duties</p>	 <p>Reporting capabilities for plan fiduciaries</p>	 <p>Electronic document file management and depository</p>	 <p>Adviser portal for client monitoring and training</p>	 <p>Resource center for plan sponsor and fiduciary adviser</p>

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