INFORMATIONAL GUIDE FOR THE ERISA DESK PLATFORM

How to Start Plan Document, SPD, Amendment and NDT Projects

From our 5500 database, the Dashboard, the Platform offers seamless auto-population to simplify data input for your Document and NDT projects. Furthermore, you can effortlessly track progress at every phase.

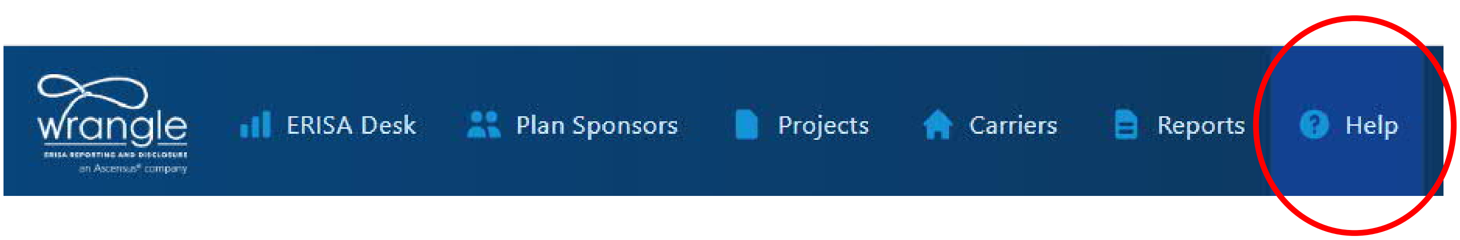
Informational Guide Contents:

Who to Contact for Assistance

ERISA Desk team’s email address: ERISADeskInfo@ascensus.com

Helpful Reference Material Always Available

If at any time you need refreshers, cheat sheets, etc. click on the “Help” tab that runs along the top of screen. All reference material is immediately available to download.



The Basics of the ERISA Desk Platform

How to Access the Platform

- Through Wrangle's website www.wrangle5500.com and click the upper right hand button, "Plan Docs/NDT Platform" or
- Go to: https://erisadesk.wrangle5500.com/

First Key Step

When adding a Plan Sponsor from the Form 5500 Dashboard, first be sure that the Plan Sponsor information is complete. If the information is not complete, the Platform cannot create the Plan Sponsor. Details needed are Plan Sponsor Name, EIN, Address, and Phone Number.

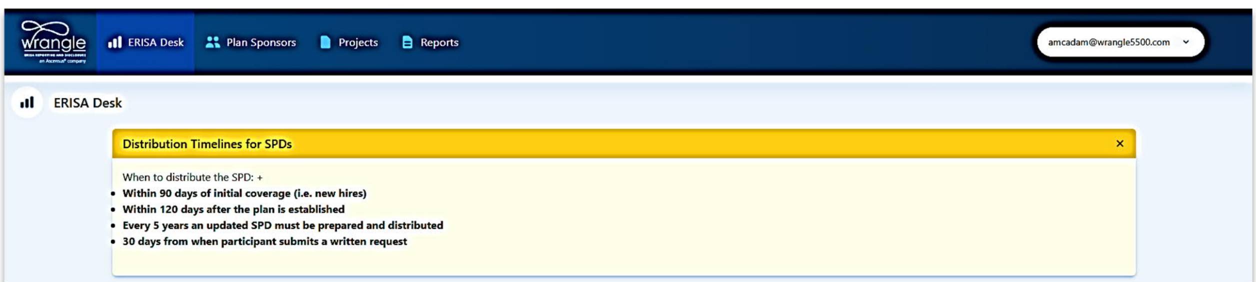
Special Notes:

1. Data entered by the ERISA Desk team for new projects received starting on September 1, 2022 will be in the Platform. Portions of legacy data (i.e., Project Type, Plan Name, Plan Number, and Plan Year) may also be available there. For example, if Wrangle created a Wrap Plan Document in 2014 and restated in 2017, only the restated 2017 Wrap Plan Doc data would be present.

2. Circles with an "i" in the center are found throughout the Platform for more information on various attributes. For a booklet on NDT, please send a request for our NDT Portfolio to Ann McAdam at amcadam@wrangle5500.com.

What to Expect from the Homepage

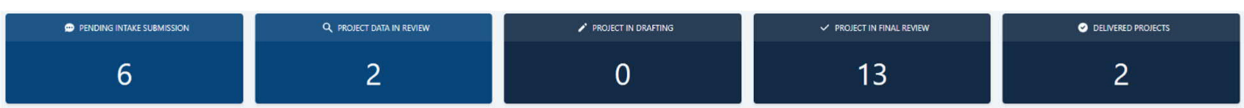
- There are four tabs at the top to help you navigate: *ERISA Desk* (Homepage), *Plan Sponsors*, *Projects*, and *Reports*
- The button at the far right, listing your username, has a drop-down menu to toggle to the 5500 Dashboard
- The Communication Box gives key details to know as well as helpful reminders



Purpose of the Homepage's Scorecard

The Scorecard highlights where projects are within each phase of the 5-step process and who is responsible for that phase. 1. *Pending Intake Submission* 2. *Project Data in Review* 3. *Project Drafting* and 4. Project in *Final Review* are in process. 5. *Delivered Projects* reflects that the project has been completed and the document is available to be downloaded.

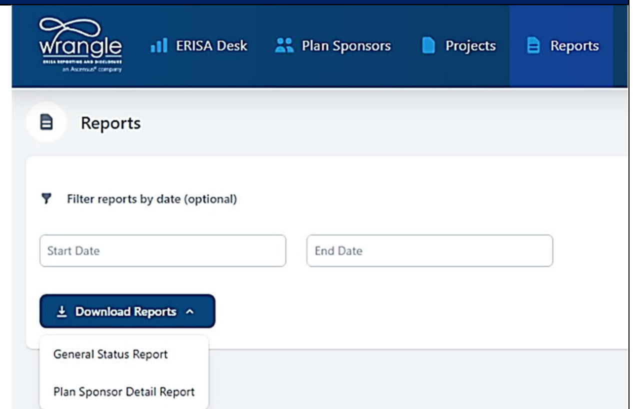
Special Note: Steps 2-5 are handled by the ERISA Desk team. During these phases no changes may be made to the intake form.



By clicking on the boxes or one of the status categories, the list of active projects under that category will be shown.

Running Reports

- Click on the *Reports* Tab to enter a start date and end date for the report.
- Click on the button *Download Project Reports* to run a report that is either General Status or Plan Sponsor Detail report.
- After the dates and the type of report are selected, an excel report will be generated.



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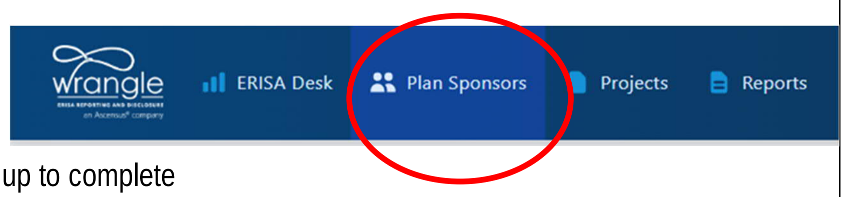
Adding a Plan Sponsor

First Step for Adding a Plan Sponsor

1. Click the *Plan Sponsors* link in the navigation bar and Click the *Add a Plan Sponsor* button
2. Search for the EIN

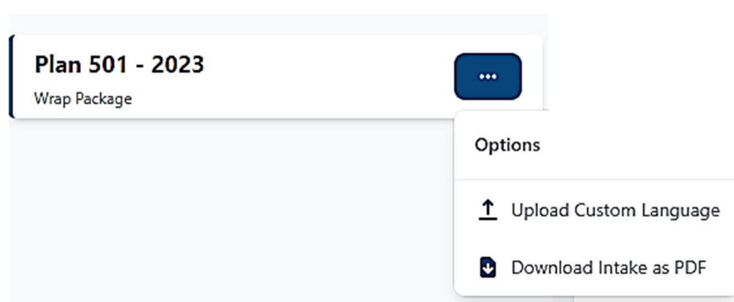


- If no record is found,
  - "*Create a New Plan Sponsor*" fill-in form will pop up to complete
  - Click *Submit* when the fields are completed
- If a record is found: Go to the next section below

If a Plan Sponsor Exists in the Platform

- If a Plan Sponsor already exists when a search is conducted for an EIN or when scrolling through the list of Plan Sponsors under the Scorecard, the options are:
  - Update *Plan Sponsor Details* (address changes for instance) or *Plan Sponsor Contacts*
- Check if there is a project in the Process Line
- If the intake form has not been submitted, the form will be available to be edited+++++++++
- If the intake form has been submitted, by clicking on the rectangle with the three dots:
  - o A PDF may be generated for the data entered or
  - o Upload custom language

> Special Note: Clients may be in the system but under another broker. Please reach out to the ERISA Desk Team to request a change in BOR.



How to Start a Project for Plan Documents/ SPDs, Amendments or NDT

Step 1: Start a Project for Wrap Plan Documents and NDT…There are two options:

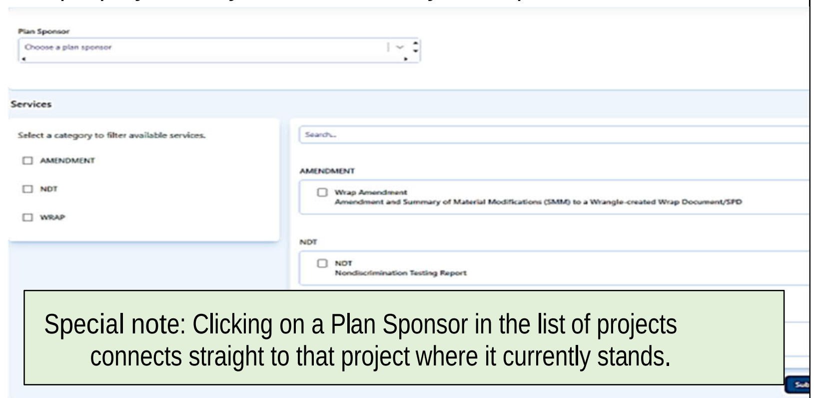
Option 1: Click on the *Plan Sponsor* header.

1. Select a Plan Sponsor from the list.
2. Click the "New Project" button and select the services.
3. Click the *Submit* button on the bottom left.

Option 2: Click on the *Projects* header.

1. Click *Add a Project* button on the far right.
2. Select a Plan Sponsor from the drop-down menu at the top.
3. Check the box corresponding to the project to complete.
4. Click the *Submit* button on the bottom left.

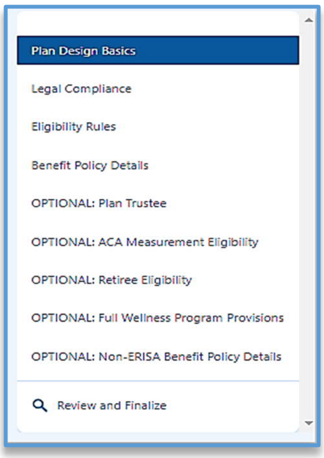
Multiple projects may be started for any Plan Sponsor.



Special note: Clicking on a Plan Sponsor in the list of projects connects straight to that project where it currently stands.

Step 2: Intake Form Completion

Wrap Intake Segments



Click on the *Projects* header, select the Plan Sponsor and click *Go to Project* button. Then complete the intake form for either the Plan Documents or Nondiscrimination Testing.

- To navigate to different sections of the intake form, use the sub-headers in the left-hand column.
- The form is full of drop-down menus to assist in completing this form.

For more details on Plan Documents and SPDs see page 6.
For Details on Intake for NDT see page 7

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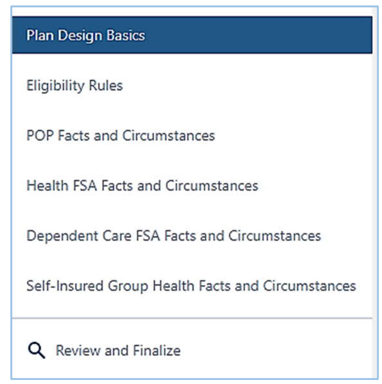
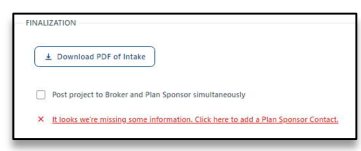
NDT Intake Segments



Step 3: Review and Submit along with Follow Up Changes

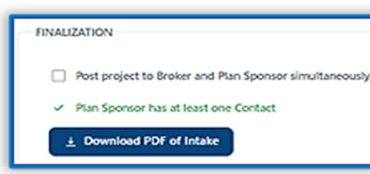
To Review and Submit

1. The last section (under Plan Design Basics) is the Review and Finalize. This is the last step of the intake process. Please be sure to completely review the details entered before clicking on the *Submit for Review* button. Once you Submit, ERISA Desk will take the next steps of completing our due diligence.



Special note: The form will not allow you to submit if we are missing Plan Sponsor Contact information and to enter that data, click on the red link right before the download PDF button. This will take you back to their main page to update their contact information.

2. A PDF of the Intake Form, is available in the *Review and Finalize* section. Click *Download PDF of Intake* button



After the intake form is submitted, Wrangle will take the next steps:

1. Once reviewed ERISA Desk may "request the changes" which will send an email to the broker/client for them to review and update. A link will be provided to bring them to the Intake's Review Client-section.
2. Once the draft is completed, ERISA Desk will send an email with links to the Documents housed in the Platform.
   a. If customized language is required, the ERISA Desk team will then follow up as needed.

Definitions of Each Phase within the Process Time Line:

If the project is in the one of the four phases the symbol on the process line will be gray. If it is completed the circle will be a solid blue

1. *Project Intake*: Project not submitted. Awaiting details to be inserted by broker or client.
2. *Drafting*: ERISA Desk is creating draft documents based on the data submitted. Questions may be sent to broker/client for clarification.
3. *Review*: ERISA Desk Team reviewing drafted docs.
4. *Delivery*: An email will be sent to notify documents are ready for review.

Intake Details for Plan Documents/ SPDs

Material Needed to Start a Project

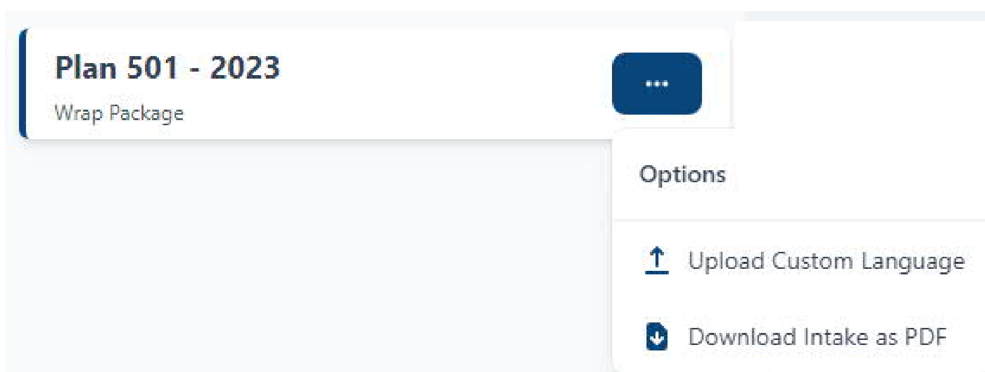
Please have the following materials available to start the project: List of benefits under the Plan, funding, and if applicable: list of the Affiliated / Participating employers, ACA Measurement tool details, as well as prior Plan Documents and Form 5500 reports.

Downloading a PDF of the Intake or Adding Customized Language

After the intake form is submitted, a PDF of the data may be downloaded or customized language may be added in another location. Click on the blue rectangle next to the Plan Number on the Plan Sponsor Page and use the drop-down menu to select either:

1: Download Intake as a PDF

2: *Upload Custom Language*. Drag and drop the document(s) to be uploaded



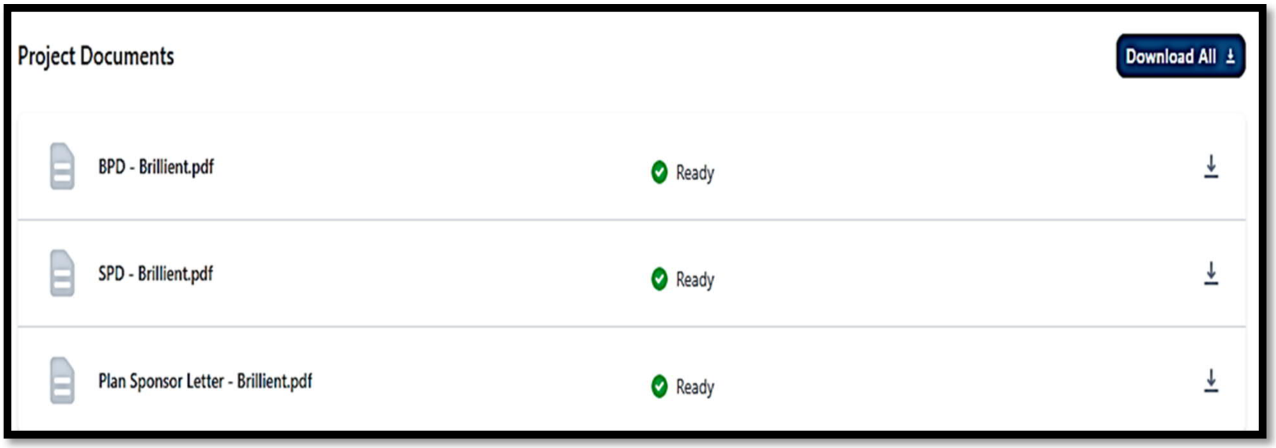
Intake Completion for Plan Documents and SPDs

The Wrap Plan Document Intake Guide that will walk through each data point for the Plan Documents and SPD. To find this tutorial go to the yellow Communication Box on the Homepage and click on the first bullet point.

How to Download PDFs of the Plan Documents and SPDs

When the Plan Documents and SPDs are drafted, the ERISA Desk will notify with an email. The email will provide instructions on next steps. Here are a few of the notes that will be provided:

- Go to the *Plan Sponsor* page
- Click on the 4th blue circle with the checkmark labeled as *Delivery*
- Documents prepared will be listed as pdfs
- Click on the name of the document, the downward pointing arrow or click *Download All*

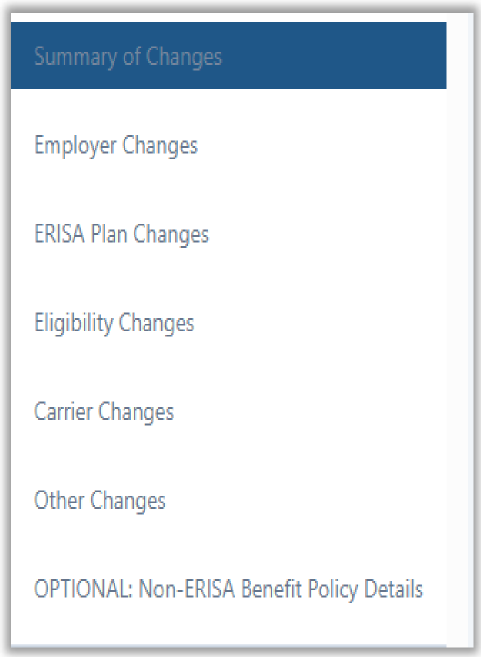


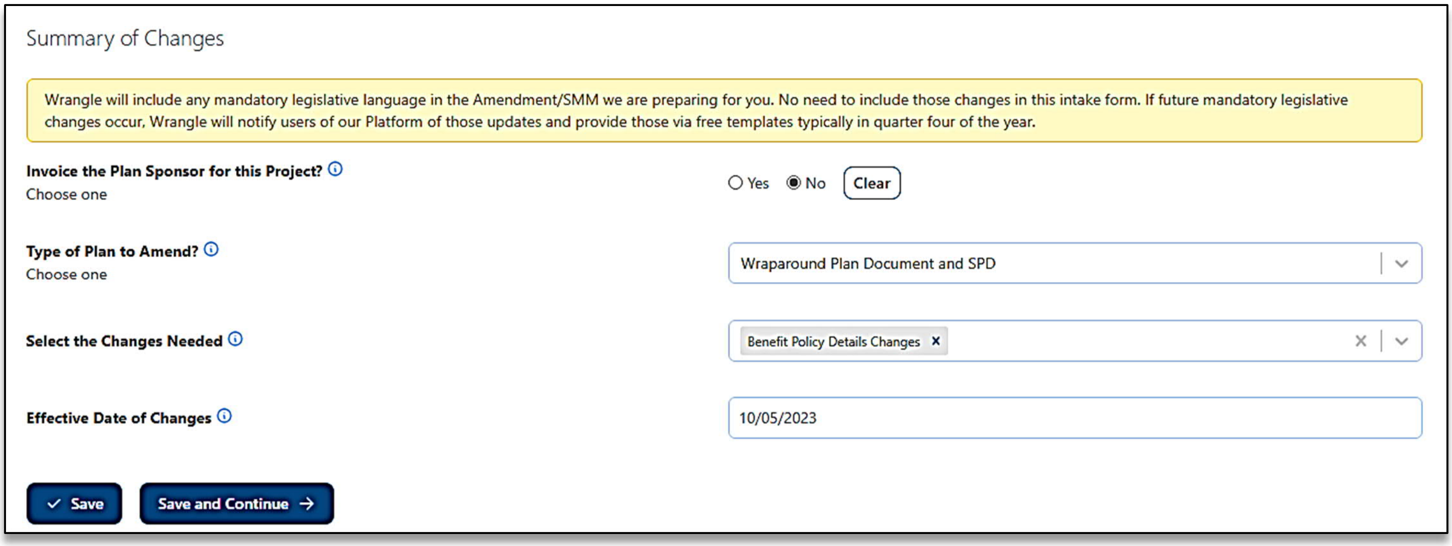
Reference material available: Sample email notifications, sample language for consent, checklists on distribution, self-audits, etc.

Intake Details for Amendments

Key Reminder: Wrangle will include any mandatory legislative language in the Amendment/SMM we are preparing for you. No need to include those changes in this intake form. If future mandatory legislative changes occur, Wrangle will notify users of our Platform of those updates and provide those via free templates typically in quarter four of the year.

A. There are four choices of Plan Documents for amending: (1) Wrap Plan Document, (2) FSA Cafeteria, (3) POP Cafeteria and (4) HRA.
B. There are up to five choices of the type of change needed: (1) Employer, (2) ERISA Plan (3) Eligibility (4) Carrier Changes and (5) Other (there is also the option for Non-ERISA Benefit Policy Details). Each will require additional information. You have the option to add custom language. Some options may require additional segments of the intake to be completed.
C. The Effective Date of Change is required. If there are multiple dates when changes occurred, please select the most recent.
D. If the Plan Document originally was not originally created by the Platform, you can still use the Platform for the amendment. You will have a text field to list what is to be changed/terminated and then select what is to be added/changed.





Creating Projects for Nondiscrimination Testing

Tests Offered

The ERISA Desk team can run the following NDT tests: Section 125 Caferia Premium Only Plan (POP), HSA, Section 105(h) Health FSA, HRA, and Self-Insured Group Health Plans (I.e. Medical, Dental, Vision)

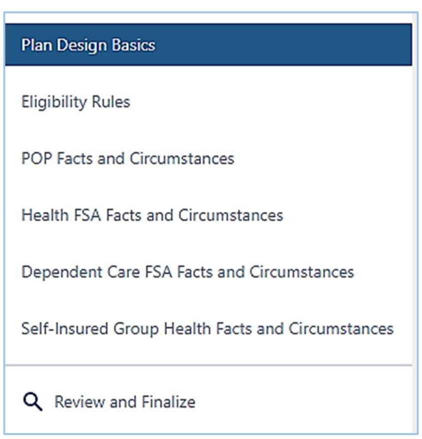
Materials Needed to Start a Project

Please have the following materials available to start the project: Census data, eligibility rules, and the facts and circumstances of the benefits for the NDT testing (Section 125 POP, Health and Dependent Care FSA and Self-Insured Group).

Special Note:

For a refresher on NDT, Wrangle has our NDT Portfolio available. Please send a request to ERISA Desk at ERISADeskInfo@ascensus.com to receive this helpful resource.

Intake Form Completion

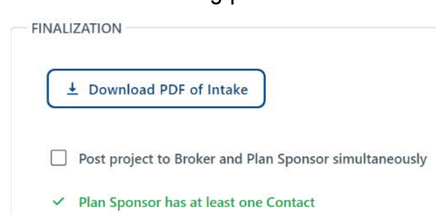


Click *Submit* to start completing the intake form.

- To navigate to different sections of the intake form, use the sub-headers in the left-hand column.
- The form is full of drop-down menus to assist in completing this form.

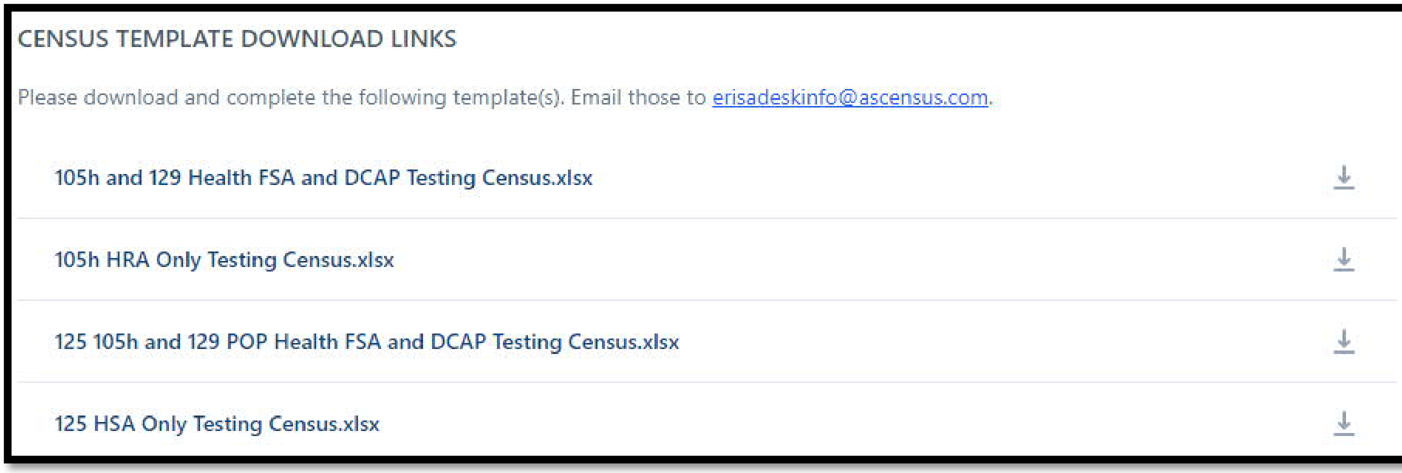
The *Plan Design Basics* section has a drop-down menu to select the test(s). The *Eligibility Rules* provides options for EE class, working hours requirements, benefits and a waiting period

To get a PDF of the Intake Form, in the *Review and Finalize* section, click *Download PDF of Intake* button. This sections is also where special instructions may be added.



Uploading the Census

The links to specific census templates, which are excel files, are available for downloading at the bottom of the Review and Finalize section. Once the census data is complete, email that to erisadeskinfo@ascensus.com .



Special Notes on Census: 1. Census data is saved as a snapshot for our files in case the data is needed for reference. 2. Please do not include social security numbers.

Obtaining NDT Results/ Reports

When the NDT report is ready, the ERISA Desk will notify with an email. The email will provide instructions on next steps. Here are a few of the notes that will be provided (these are the same for Plan Documents):

- Go to the *Plan Sponsor* page
- Click on the 4th blue circle with the checkmark labeled as *Delivery*
- Documents prepared will be listed as
- Click on the name of the document, the downward pointing arrow or click *Download All*