



Plan Administration Service Options

The Andesa Plan Administration System leverages modern software technology and decades of business acumen to meet the sophisticated record-keeping requirements inherent to nonqualified deferred compensation plans.

BUSINESS AREA	SUPPORTED FUNCTION	SSO OPTION	FSO OPTION
Data Updates	<ul style="list-style-type: none"> Initial upload and transition of policy and plan information Ongoing support of data updates Management Extract data available including information such as policy and plan counts 		<ul style="list-style-type: none"> ✓ ✓ ✓
Recordkeeping and Plan Calculations	<ul style="list-style-type: none"> Process plan calculations according to plan documentation and system set-up Generate accounting entries, accrual calculations, imputed income, and FICA calculations as defined by plan requirements Benefit plan and plan participant termination and distribution processing Policy status change processing Insurance value validation and upload including correspondence with insurance carriers Social Security sweep processing 		<ul style="list-style-type: none"> ✓ ✓ ✓ ✓ ✓
Account Management	<ul style="list-style-type: none"> Dedicated administrative support for brokers Annual Review support for plan and policy reviews for plan sponsors Broker annual review outlining services provided and supporting management Semi-annual broker visits to ensure broker satisfaction 	<ul style="list-style-type: none"> ✓ ✓ ✓ 	<ul style="list-style-type: none"> ✓ ✓ ✓ ✓
Process and Quality Control Documentation	<ul style="list-style-type: none"> Process and quality control documentation generated and maintained Documented procedures are reviewed annually to ensure completeness Documentation shared with broker upon request 		<ul style="list-style-type: none"> ✓ ✓ ✓

Report Generation and Delivery	<ul style="list-style-type: none"> Benefit and insurance reporting is generated and reviewed for quality according to the plan documents and client's timing expectations Completed reports are delivered to the client for delivery or directly to the plan sponsor Process and quality control procedures documented and available for review 		<ul style="list-style-type: none"> ✓ ✓ ✓
Service Contracts	<ul style="list-style-type: none"> Provide service contracts to brokers outlining contracted services from Andesa and associated initial and ongoing fees Provide model service contracts to brokers for use with plan sponsors outlining services provided by Andesa 	<ul style="list-style-type: none"> ✓ 	<ul style="list-style-type: none"> ✓ ✓
Plan Consulting	<ul style="list-style-type: none"> Limited to plan consulting with regard to supported contemplated plan designs as well as proposed amended changes to plan designs currently under service Participate in takeover case plan review and data transfer on conversion cases 		<ul style="list-style-type: none"> ✓ ✓
Self-Service System Access	<ul style="list-style-type: none"> Unlimited access to system modes and features 24/7/365* access to plan administration tools including plan history, values, and documentation Control over calculation processing and report timing *excludes system maintenance downtime 	<ul style="list-style-type: none"> ✓ ✓ ✓ 	
Secure Web Portal	<ul style="list-style-type: none"> Secure participant and plan sponsor web access for reporting and hypothetical account allocations Web portal used for initial and annual participant enrollment 101j Consent with e-Sign Portal 	<ul style="list-style-type: none"> ✓ ✓ 	<ul style="list-style-type: none"> ✓ ✓ ✓
Software Support	<ul style="list-style-type: none"> Portal & Reporting support via Andesa's Help Desk and Issue Ticket Resolution process Maintain business continuity plan and backup servers Secure email with clients and plan sponsors 	<ul style="list-style-type: none"> ✓ ✓ ✓ 	<ul style="list-style-type: none"> ✓ ✓ ✓
Data Security and Controls	<ul style="list-style-type: none"> Redundant Data Centers and mature information protection Contracted with SunGard to insure workforce processing Risk Management officer on staff Maintain SSAE 16 SOC 1 Type II, SOC 2 Type I (unqualified opinion) Perform Annual IT Risk Assessment 	<ul style="list-style-type: none"> ✓ ✓ ✓ ✓ ✓ 	<ul style="list-style-type: none"> ✓ ✓ ✓ ✓ ✓