



Planning calendar

Date: _____
Prepared for: _____
Prepared by: _____

Based on the information you have provided, the following is a preliminary schedule for the various services I am offering to you as your plan's Financial Professional — to be confirmed by you, and subject to revision over the course of the year.

For Financial Professional use with plan sponsors.

INVESTMENT PRODUCTS: NOT FDIC INSURED • NO BANK GUARANTEE • MAY LOSE VALUE



Selected key compliance dates for plan administration* (partial list; does not reflect all required filings / deadlines)

Jan. 31: Deadline for 1099-R reporting to plan participants for plan distributions in previous year

Jan. 31: Deadline for Form 945 reporting for plan withholding on distributions in previous year

March 15: Deadline to complete discrimination testing and correct ADP/ACP failure

March 15: Employer contributions due (unless extension filed)

March 31: 1099-R electronic filing deadline (with IRS)

Preliminary schedule of services to be provided by Financial Professional (List review meetings, education seminars, etc.)

1 _____

2 _____

1 _____

2 _____

1 _____

2 _____



Selected key compliance dates for plan administration* (partial list; does not reflect all required filings / deadlines)

Jul. 31: Deadline to file Form 5500 (unless extension filed)

Jul. 31: Deadline to file Form 5330 (excise taxes on prohibited transactions) if applicable

Sept. 30: Deadline for providing Summary Annual Report (SAR) to participants (unless Form 5500 extension is filed)

Preliminary schedule of services to be provided by Financial Professional (List review meetings, education seminars, etc.)

1 _____

2 _____

1 _____

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1 _____

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* Dates are based on a calendar year plan. The referenced compliance items and dates represent only a small sampling of the compliance items and dates that are associated with the operation and administration of a retirement plan. The referenced compliance items and dates are intended for general informational purposes only. Plan sponsors and fiduciaries, together with their third-party administration providers, are solely responsible for complying with the referenced compliance items and dates and any other compliance items and dates that apply with respect to their plan. Neither the Financial Professional who furnishes this form nor the Financial Professional's firm is responsible for causing the plan to comply with the referenced compliance items and dates, or any other applicable compliance items and dates, or for reminding the Plan Sponsor and its fiduciaries and their third-party administration providers to comply with any such compliance items and dates. This document does not constitute legal, tax or investment advice. Plan sponsors and fiduciaries should consult with their legal counsel to understand the full scope of their compliance responsibilities with respect to their plan under ERISA, the Internal Revenue Code, and other applicable laws and regulations.



April 1: Initial required minimum distributions for any employees who turned 70½ or retired in previous year

April 15: Deadline for 402(g) excess deferral refunds to participants

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Dec. 1: Deadline to provide annual notice to employees of ADP/ACP testing safe harbor provisions, automatic enrollment/contribution provisions and Qualified Default Investment Alternative (QDIA) arrangements.

1 _____

2 _____

1 _____

2 _____

1 _____

2 _____

Any information, statements and opinions set forth herein are general in nature, are not directed to or based on the financial situation or needs of any particular investor and does not constitute, and should not be construed as, investment advice, forecast of future events, a guarantee of future results, or a recommendation with respect to any particular security or investment strategy. Investors seeking financial advice regarding the appropriateness of investing in any securities or investment strategies should consult their financial professional.