



A CLIENT-BASED MANAGEMENT SYSTEM BUILT FOR THE RETIREMENT PLAN PROFESSIONAL

ASC offers two complementary CRM/Tracking Systems: CATTs (Client and Task Management System) and PensionPal. Both track your clients, contacts, associated Brokers, Sales Agents, Accountants, have employee level security restrictions and can provide plan information with the click of a mouse. In addition to implementation assistance and ongoing support from ASC's terrific and experienced support staff, both systems offer customizable workflow and task management fields, on-demand or scheduled reports, and letter or e-mail merge capabilities. Contact ASC Sales at sales@asc-net.com or (800) 950-2082 x1 to discuss and find the perfect solution for your business needs.

PensionPal is built with the "soup to nuts" TPA in mind. PensionPal stores your client, contact, and plan data in a central location and offers additional flexibility such as customizable dashboards, sales tracking, integration with ASC and other systems, detailed workflow and employee task management. Secure file transfer web portal option is available.

Special Features:

- Customizable color screens allow users to easily identify Client and Prospect information while tracking data for multiple years
- Log all client correspondence with PensionPal for Outlook Add-In email integration feature
- Keep track of all payouts (Distributions, Loans, Hardships & QDROs)
- Attach notes, PDFs and e-mails in PensionPal for uninterrupted client support during staff absences
- Mass create fillable PDF Forms such as Annual Census and click once to update all returned information
- Pie-chart diagrams provide at-a-glance answers to referral source, investment, staffing resource, and other important profitability questions.
- Detailed time and billing information tracks employee production and generates invoices
- Go Mobile! Download the PensionPal App from iTunes, Google Play and Windows Store

Client Data

Client Name: Optimal Retirement Solutions, Inc. Client ID: 2007

Client Address

Address 1: 596 Taylor Drive Phone: (516) 313-4130 Ext: [] JWP Key: []
 Address 2: [] Fax: [] Server Address: []
 City: Ridgewood State: NJ Zip: 07460 Testing Software: [] Port Number: []
 Website: www.optimalretirementsolutions.com Tax 5300 Software: [] Logo Link: []
 Tax ID # [] SSN [] Document Software: [] About Us: []

Client Group: [] Status Change Date: [] Referral Details: []
 Sales Agent: [] Referral By: []
 Mfg Frequency: [] Amount Received: []

Dem 1: [] Dem 1 Attendance: [] Test Links: []
 Dem 2: [] Dem 2 Attendance: [] Test Passwords: []
 Dem 3: [] Dem 3 Attendance: [] Login Info: []

Distributions

Client notified:

Address 1: 2523 Willow Drive
 Address 2: []
 City: Chicago E-Mail: []
 State: IL Zip: [] Phone: []

SPN: 123-898-2342
 Date of Birth: []
 Name: Barbara Johnson

Fee Amount: [] Pmt. Method: [] Pmt. Notes: [] Fees Paid:

Distribution Tracking

Term Notice Received: [] Term Package Sent Date: [] Missing Info Details: []
 Form Received: [] Missing Info: On Hold: []
 Req Missing Info: [] Missing Info Recd: [] Special Notes: []
 Form Complete:

Done By: [] Dist. Processed: 1/5/2018
 Audited By: [] Date Audited: []
 Req sent to MH: [] Method Sent: [] Date Confirmed: 1/12/2018

Payout Information

Distribution Type: In-Service Outstanding Loan Balance: [] Taxable Amt: [] Gross Dist Amount: 2,000.00
 Form 1099 Year: [] Federal WH: [] Roth Amt: [] 1st Yr. Roth Con: []
 1099 Dist Code: [] State WH: [] Total Dist.: [] Dist. Type 2: []
 1099: No Test 2103: [] Send Paperwork: []

Attached Form: C:\Users\bj\JohnsonDistributionForm.pdf

Distributions	Correspondence	Date Confirmed	Payout Processed
In-Service	2,000.00	1/12/2018	1/12/2018

YEAR-END RETIREMENT

The data collected by this form will be used to complete Form 5500 reporting for your retirement plan. Please complete this form and return it to Employee Fiduciary as soon as possible.

The accuracy of the data reported by this form is critical to the accurate completion of testing and Form 5500 reporting by Sample Client. A re-work fee (\$85/hour) will apply if incorrect data is provided to us and work must be revised after it has been sent to you.

SECTION I: COMPANY PROFILE

COMPANY NAME: ABC Bookshop 401(k) Plan
 ADDRESS: 4565 Whipple Avenue
 CITY, STATE, ZIP: Springfield IL 33614
 BUSINESS ENTITY TYPE (choose one):
 C-Corporation S-Corporation LLC (taxed as corp) LLC (taxed as partnership)

OPTIMAL RETIREMENT SOLUTIONS, INC.

Optimal Retirement Solutions, Inc.
 596 Taylor Drive
 Ridgewood, NJ 07450
 (201) 786-2923

INVOICE

DATE	INVOICE #
5/9/2018	235675487

BILL TO

ABC Bookshop 401(k) Plan
 4565 Whipple Avenue
 Springfield, IL 33614

DUE DATE
6/8/2018

DESCRIPTION	QTY	RATE	AMOUNT