

Client contact change form

| Plan number | | Plan name | |
|--|-------|--------------------------|-------|
| | | | |
| Current authorized signer certification | | | |
| Name | Title | Email | Phone |
| | | | |
| <p>The plan sponsor has designated the representative(s) listed on the following pages to the plan contact roles elected.</p> <p>If the plan sponsor has elected the authorized signor option, the following authorized plan representative(s) are authorized to provide direction and approval on behalf of the plan sponsor and plan administrator. This authorization applies to all direction and approvals required by Empower with respect to the administration and recordkeeping of the plan. Empower recommends that at least two representatives be authorized to sign at all times.</p> <p>The plan sponsor acknowledges and agrees that this goes into effect within a reasonable amount of time after good order receipt.</p> | | | |
| <p>_____</p> <p>Current authorized signer's signature</p> | | <p>_____</p> <p>Date</p> | |

Contact and report definitions

Authorized Signer – The authorized plan representative(s) are authorized to provide direction and approval on behalf of the plan sponsor and plan administrator. A sample signature must be provided and will be referenced when plan transaction requests are authorized by this individual.

Primary Contact – The plan sponsor must designate one primary contact for purposes of plan administration. This is the day-to-day representative and primary contact that works with Empower representatives to administer the plan.

Secondary Contact – Any other individual who should have authorization to work on behalf of the plan with Empower representatives.

Payroll Contact – The plan sponsor must designate at least one individual for payroll administration. This individual will receive all applicable file feed reports and must have access to the Plan Service Center (PSC) website. An individual who occasionally processes payroll may also be designated.

Loan Contact – The plan sponsor may designate individuals that specifically administer employee loans. This contact will receive the loan file feed and must have access to the Plan Service Center website.

Plan Summary Report – Quarterly and Annual plan statements will be made available to this representative's PSC account following quarter or year-end, as applicable.

Proxy Contact - Proxy notifications are directed to this contact.

Compliance Contact – This contact will receive all compliance notifications regarding year-end testing, 5500 filing, and amendments.

Secondary Compliance Contact – Any other individual that supports year-end testing, 5500 filing, and amendments.

Deferral report – Reports any deferral changes.

Loan detail report – Reports new loans, changes to loans and loans paid in full.

Eligibility reports – Reports employees who are newly eligible to enroll in the plan in advance of their eligibility date.

Automatic Enrollment Annual Notice – Reports which participants received the annual automatic enrollment notice.

Automated Mandatory Distribution Recipient – Reports participants eligible for mandatory distribution.

Payroll Bridge Report – Identifies who is set up to receive Payroll Bridge confirmations.

Plan contacts can be viewed on the Plan Service Center under the **Contacts > Plan contacts** menu option.

Please return all pages to your Client Service Manager.



In addition to the selections indicated below, the Plan Service Center (PSC) authorization form comes prefilled with the contact information provided below as an administrative convenience to provide full administrative access to the website. Please review these selections carefully based on your individual plan needs before approving.

| Contact information | |
|--|---|
| <p>Add/Change contact – Contact roles assigned based on the selections below. Remove contact – All contact roles and PSC access will be terminated for the individual(s) listed below.</p> | |
| <p>Replace _____ with the individual listed below. Replacing a contact will transfer all plan contact roles to the new individual. The contact being replaced will have their contact roles and PSC access terminated. Standard selections below will be ignored.</p> | |
| Name | Subsets (if applicable) All |
| Address | Division(s) _____ |
| City, State ZIP | Pay Center(s) _____ |
| Phone | Authorized signer Yes (sign below) No |
| Email | SAMPLE SIGNATURE |
| Employer <i>If different from plan</i> | |
| Current PSC ID <i>If previously issued</i> | |
| Plan contact roles (as applicable to your plan) | |
| Primary contact roles Primary Plan Contact ¹ Primary Compliance Contact ^{1,6} Payroll Contact ² Primary Occasional Loan Contact ^{1,2} | Standard contact roles <i>These contact roles are setup by default</i> Secondary Plan Contact Secondary Compliance Contact ⁶ Plan Summary Report ^{2,5} |
| | Other contacts roles Trustee ³ Proxy Contact ⁴ |
| ¹ Marking this box will override any current contact listed in this role. ² This contact role requires PSC access. ³ May require a plan amendment. ⁴ For plans with employer stock only. ⁵ Assigned with PSC access (may opt out). ⁶ Applicable to plans with Empower compliance services | |
| PSC file feed reports (as applicable to your plan's services) | |
| Standard reports Deferral report Loan detail report Eligibility reports | |
| Service-specific reports Automatic Enrollment Annual Notice Automated Mandatory Distribution Recipient Payroll Bridge Report | |
| Empower recommends that at least two users receive all applicable file feeds and must have PSC access. | |



In addition to the selections indicated below, the Plan Service Center (PSC) authorization form comes prefilled with the contact information provided below as an administrative convenience to provide full administrative access to the website. Please review these selections carefully based on your individual plan needs before approving.

| Contact information | | |
|--|---|---|
| <p>Add/Change contact – Contact roles assigned based on the selections below. Remove contact – All contact roles and PSC access will be terminated for the individual(s) listed below.</p> | | |
| <p>Replace _____ with the individual listed below. Replacing a contact will transfer all plan contact roles to the new individual. The contact being replaced will have their contact roles and PSC access terminated. Standard selections below will be ignored.</p> | | |
| Name | | Subsets (if applicable) All |
| Address | | Division(s) _____ |
| City, State ZIP | | Pay Center(s) _____ |
| Phone | | Authorized signer Yes (sign below) No |
| Email | | SAMPLE SIGNATURE |
| Employer <i>If different from plan</i> | | |
| Current PSC ID <i>If previously issued</i> | | |
| Plan contact roles (as applicable to your plan) | | |
| Primary contact roles Primary Plan Contact ¹ Primary Compliance Contact ^{1,6} Payroll Contact ² Primary Occasional Loan Contact ^{1,2} | Standard contact roles <i>These contact roles are setup by default</i> Secondary Plan Contact Secondary Compliance Contact ⁶ Plan Summary Report ^{2,5} | Other contacts roles Trustee ³ Proxy Contact ⁴ |
| ¹ Marking this box will override any current contact listed in this role. ² This contact role requires PSC access. ³ May require a plan amendment. ⁴ For plans with employer stock only. ⁵ Assigned with PSC access (may opt out). ⁶ Applicable to plans with Empower compliance services | | |
| PSC file feed reports (as applicable to your plan's services) | | |
| Standard reports Deferral report Loan detail report Eligibility reports | | |
| Service-specific reports Automatic Enrollment Annual Notice Automated Mandatory Distribution Recipient Payroll Bridge Report | | |
| Empower recommends that at least two users receive all applicable file feeds and must have PSC access. | | |



Plan service center authorization form

This form is used to request usernames and passwords to establish Plan Service Center (“PSC”) access. The PSC is the primary tool used by the Plan Sponsor, as identified in Part I, and any authorized third parties for on-line contribution processing, obtaining plan and participant data, requesting/downloading plan files and reports, and approving on-line disbursements. The Plan Sponsor agrees to notify Empower Retirement™ in the event that the Plan Sponsor desires to terminate PSC access for any user. The identified users listed below will receive an e-mail notification when their PSC authorization request has been completed.

PART I: PLAN SPONSOR CONTACT

| | |
|----------------|--|
| Plan Name: | Plan Number: |
| Contact Name: | Pay Center: Division: (if applicable) |
| Contact Email: | Contact Phone/Ext.: |

PART II: PLAN SERVICE CENTER (PSC) CLIENT ADMINISTRATION AGREEMENT

By signing this form, the Plan Sponsor agrees that the user names listed on the following pages are authorized to use the PSC. The Plan Sponsor hereby agrees to notify each of the user names listed to maintain the confidentiality of logon and password information provided and to not share such information with any third parties. The plan sponsor is responsible for regular review of the users authorized access to the PSC and providing timely notification to Empower of any access changes.

| | |
|--|-------------------|
| Authorized Plan Representative: | |
| Signature: _____ | Print Name: _____ |
| Title: _____ | E-mail: _____ |
| Phone #: _____ | Date: _____ |

Note: If the plan has pay centers and/or divisions with different contacts, please complete one login form for each pay center and/or division.



PART III: PLAN SERVICE CENTER (PSC) LOGIN REQUEST

To obtain access to Plan information through PSC, please complete the following (addendums may be attached as needed). **Please see Appendix A for detailed access level options and descriptions.** If no box is checked, Default Plan Access as defined in appendix A will be provided.

| | | | |
|--|---|--|---|
| Name: | | Current PSC Username (if applicable) | |
| E-Mail Address: | | Phone: | |
| User Type: Check One | Plan Employee: <input type="checkbox"/> | Other: <input type="checkbox"/> _____ | |
| 1) Default Plan Access as defined in Appendix A is provided for all login requests. | | | |
| 2) Participant Data Access: Select only one option; access will not be provided if a selection is not made. | | <input type="checkbox"/> No participant data access <input type="checkbox"/> View participant data and order reports <input type="checkbox"/> View, add, edit participant data and order report <input type="checkbox"/> View, add, edit participant data, order reports, process payroll, and update plan ACH info | |
| 3) Compliance Access: Select only one option; access will not be provided if a selection is not made. | | <input type="checkbox"/> No Compliance 5500 access <input type="checkbox"/> View Compliance 5500 <input type="checkbox"/> View, add, edit, submit Compliance 5500 | |
| 4) To Do List Access: Select only one option; access will not be provided if a selection is not made. | | <input type="checkbox"/> No To Do List access <input type="checkbox"/> View To Do List without email reminders <input type="checkbox"/> View To Do List with email reminders <input type="checkbox"/> View, edit, approve To Do List | |
| 5) Fee Disclosure Documents: Select only one option; access will not be provided if a selection is not made. | | <input type="checkbox"/> No Fee Disclosures access <input type="checkbox"/> View Fee Disclosures with email reminders <input type="checkbox"/> View Fee Disclosures without email reminders | |
| 6) Plan Expenses: Select only one option; access will not be provided if a selection is not made. | | <input type="checkbox"/> No Pay Plan Expenses access <input type="checkbox"/> View Plan Expenses <input type="checkbox"/> View and pay Plan Expenses | |
| 7) Username Management: Access will default to view if a selection is not made. | | <input type="checkbox"/> No viewing privileges <input type="checkbox"/> View username access privileges | |
| 8) File Sharing: Select only one option per category; access will not be provided if a selection is not made. | | | |
| Auditor Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Client/External Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Compliance Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Conversion Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Payroll Records Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Trustee Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Vault Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View and upload files |



| | | | |
|--|---|--|---|
| Name: | | Current PSC Username (if applicable) | |
| E-Mail Address: | | Phone: | |
| User Type: Check One | Plan Employee: <input type="checkbox"/> | Other: <input type="checkbox"/> _____ | |
| 1) Default Plan Access as defined in Appendix A is provided for all login requests. | | | |
| 2) Participant Data Access: Select only one option; access will not be provided if a selection is not made. | | <input type="checkbox"/> No participant data access <input type="checkbox"/> View participant data and order reports <input type="checkbox"/> View, add, edit participant data and order report <input type="checkbox"/> View, add, edit participant data, order reports, process payroll, and update plan ACH info | |
| 3) Compliance Access: Select only one option; access will not be provided if a selection is not made. | | <input type="checkbox"/> No Compliance 5500 access <input type="checkbox"/> View Compliance 5500 <input type="checkbox"/> View, add, edit, submit Compliance 5500 | |
| 4) To Do List Access: Select only one option; access will not be provided if a selection is not made. | | <input type="checkbox"/> No To Do List access <input type="checkbox"/> View To Do List without email reminders <input type="checkbox"/> View To Do List with email reminders <input type="checkbox"/> View, edit, approve To Do List | |
| 5) Fee Disclosure Documents: Select only one option; access will not be provided if a selection is not made. | | <input type="checkbox"/> No Fee Disclosures access <input type="checkbox"/> View Fee Disclosures with email reminders <input type="checkbox"/> View Fee Disclosures without email reminders | |
| 6) Plan Expenses: Select only one option; access will not be provided if a selection is not made. | | <input type="checkbox"/> No Pay Plan Expenses access <input type="checkbox"/> View Plan Expenses <input type="checkbox"/> View and pay Plan Expenses | |
| 7) Username Management: Access will default to view if a selection is not made. | | <input type="checkbox"/> No viewing privileges <input type="checkbox"/> View username access privileges | |
| 8) File Sharing: Select only one option per category; access will not be provided if a selection is not made. | | | |
| Auditor Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Client/External Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Compliance Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Conversion Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Payroll Records Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Trustee Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View, upload, and delete files |
| Vault Folder | <input type="checkbox"/> No access | <input type="checkbox"/> View files | <input type="checkbox"/> View and upload files |

Appendix A: Access Options and Descriptions

Default Plan Access: Default is required for all users and cannot be removed.

1) **Default:** Provides the ability to view plan information and order plan reports. Access to participant data is not provided by default and is optional as outlined below.

Participant Data Access Options: Participant Data Access is optional and one of the following access levels from each group can be in addition to default access.

2) **Participant Data and Payroll Processing:** Provides the ability to view participant data, order reports, add/edit participant data, process payroll, and update plan banking information for ACH debit.

- View participant data and order reports
- View, add, and edit participant data and order report
- View, add, and edit participant data, order reports, process payroll, and update plan banking information (Please note: Payroll processing provides the authority to debit applicable bank accounts to fund participant contributions.)

3) **Compliance 5500 Information:** Provides the ability view, edit, and submit compliance 5500 testing information and corrective distributions.

- View compliance 5500 information, results, and corrective distributions
- View, add, edit, and submit compliance 5500 information, approve compliance corrective distributions

4) **To Do List:** Provides the ability to view, edit, and approve participant withdrawal requests, plan/participant notifications, and participant enrollments.

- View participant To Do List items notifications and enrollments without email reminders
- View participant To Do List items notifications, and enrollments with email reminders
- View, edit, and approve participant To Do List items, notifications, and enrollments with email reminders

5) **Fee Disclosure Documents:** Provides the ability to view plan and participant fee disclosure documents with or without email reminders when new documents are available.

- View fee disclosure documents with email reminders.
- View fee disclosure documents without email reminders.

Additional Access Options: The following access levels are optional.

6) **Plan Expenses Information:** Provides the ability to view historical invoices and pay current plan expenses.

- View plan expenses online
- View and pay plan expenses online

7) **Username Management:** Provides the ability to view who has access to see plan and participant information.

- View only access to Username Management

8) **File Sharing:** Provides the ability to securely share files and provides several folder category options to organize, view, upload, and manage files. For each File Sharing category, the following options are available.

- Auditor Folder, Client External Folder, Compliance Folder, Conversion Folder, Payroll Records Folder, Trustee Folder
 - View files
 - View and upload files
 - View, upload, and delete files
- Vault Folder
 - View files
 - View and upload files