Express(k) Setup Checklist

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Congratulations on your decision to start a retirement plan.

We need to collect a little more information in order to produce your 401(k) plan documents. Providing this information should take no more than 15 minutes.

You'll need to:

1. Enter in the additional company information listed below.
2. Assign one or more trustee(s).
3. Provide bank information to fund your plan.

What additional information is needed?

- Company information
- Employer Identification Number (EIN)
- Business type (Partnership, LLC, etc.)
- Company's fiscal year end date
- State in which your business is incorporated
- Number of employees
- Date your company was founded

Plan Information

Most plan features are standard in Express(k). During setup, you need to make one choice: pick a starting date:

- Effective date

  This is the date you'd like the plan to start. Please note: the earliest you can start your plan is the first day of the next month.

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Trustee information

A plan trustee is someone that takes responsibility for the plan (for example, proper handling of contributions and ensuring the plan follows basic rules). It is typically the owner or an officer of the business. Ubiquity Retirement + Savings provides guidance and support to trustees throughout the year to ensure that they are aware of their responsibilities. You can have multiple trustees for your plan.

For each trustee we need the following:

- First and last name
- Phone number
- Title
- E-mail
- Social security number (this is required by law in order to open an account for your plan)
- Date of birth
- Date of hire

Bank account information

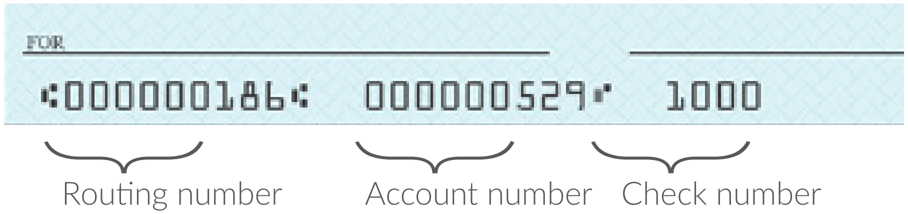
Funding your plan:

One of your key responsibilities is to deduct 401(k) contributions from each participating employee's paycheck (at their request), and to submit these contributions to the plan.

We make this easy with a simple method of communicating these contributions to us.

We automatically transfer the money from your corporate or payroll account into the plan. To do this, we need the following information from you:

- Routing number
- Account number
- Bank name
- Account type (checking or savings)



Next steps

Once you have the information above, enter it during the setup process. If you need guidance, we're happy to help.

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