

Retirement Compliance Consulting Center



Managing the compliance of retirement plans, programs and processes is complex. Having the right compliance consultant who helps you identify areas of potential risk and design programs and processes to minimize risk, and who alerts you to legislative and regulatory trends is essential.

We are your compliance specialists.

We specialize in compliance. The Compliance Consulting Center (CCC) within our Knowledge Resource Center (KRC) is a nationally recognized team of consultants that includes attorneys, actuaries and other compliance and government relations experts, who consult on cutting-edge compliance issues and stay abreast of evolving issues related to employee benefits.

Our CCC consultants have extensive, proven experience with employee benefit plans, including qualified and non-qualified retirement plans, governmental and church plans and executive benefits, in the areas of:

- Compliance
- Design
- Implementation
- Administration

Our compliance specialists can assist you and your legal and tax counsel in complying with the full suite of plan requirements. In addition, with a core staff close to the legislative and regulatory agencies and CCC specialists located around the country, we are positioned to keep you informed on the compliance aspects of court decisions, new and pending legislation and regulations concerning employee benefits.

While we do not provide legal advice to clients, we regularly review and interpret guidance from the IRS, DOL, PBGC and other local, state and federal government agencies.

Consider just a few of the risks of non-compliance:

- **DOL Employee Benefits Security Administration:** In 2016, the DOL closed well over 2,000 civil investigations with nearly 68% resulting in monetary fines or other corrective action and more than 300 criminal investigations that led to the indictment of 96 plan officials/corporate officers/service providers.
- **Top three qualified retirement plans' compliance issues per the IRS:**
 - Minimum participation rules not followed
 - Operations inconsistent with plan documentation
 - Anti-cutback rule violations



We Can Help

We help you stay in the know and in compliance. We can assist you with:

- Benefit plan documents, amendments, trust documents and resolutions
- Communications such as summary plan descriptions and required notices
- Administrative tools such as procedures, forms and manuals
- Government filings, including IRS determination letter requests and annual reports (Form 5500)
- Compliance reviews and correction methodologies
- Fiduciary and plan governance

Learn More

To find out more, contact us at **1 866.355.6647** or **hrservices@conduent.com**.

www.conduent.com/hrservices

