

Streamline Fund Lineup Changes with Investment Change Manager

Ascensus can help you and your advisor save time and simplify fund management through our enhanced online functionality.

Designed with convenience and engagement in mind, the Investment Change Manager (ICM) allows your financial advisor to initiate investment changes for your plan online, offering a streamlined and efficient process along with quick adjustments without the need for you to complete paper forms.

Financial advisors can electronically initiate the following for your plan using ICM:

- ✓ Add or exchange a fund
- ✓ Make fund model changes
- ✓ Reallocate funds within a model
- ✓ Rebalance models on an ad hoc basis
- ✓ Update the model rebalance frequency



Benefits



Streamlined process

Clear transaction details will be emailed to you, reducing the need for signature approval.



Dedicated service

The Client Service (CS) Trade team is available to assist with any questions about ICM.



Online screening

ICM reduces errors by ensuring funds are on the eligible fund list.



Fee disclosures

Updated fee disclosures will be posted to the plan website, and we will notify you when they are ready for distribution to your participants.

Frequently Asked Questions

Q: How does my financial advisor access ICM?

A: They simply log in to the plan website. From the navigation menu, they select **My Plans** and then scroll to find the applicable plan and click **View**. In the **View** drop-down, they select **Investment Change Manager**.

Q: How are change requests initiated?

A: Once on the ICM screen, your advisor selects the type of change request: Add Funds, Exchange Funds, or Model Portfolio Changes. They complete the necessary fields for the change type and then submit. For a more detailed view, they can refer to the [Investment Change Manager Overview Guide](#).

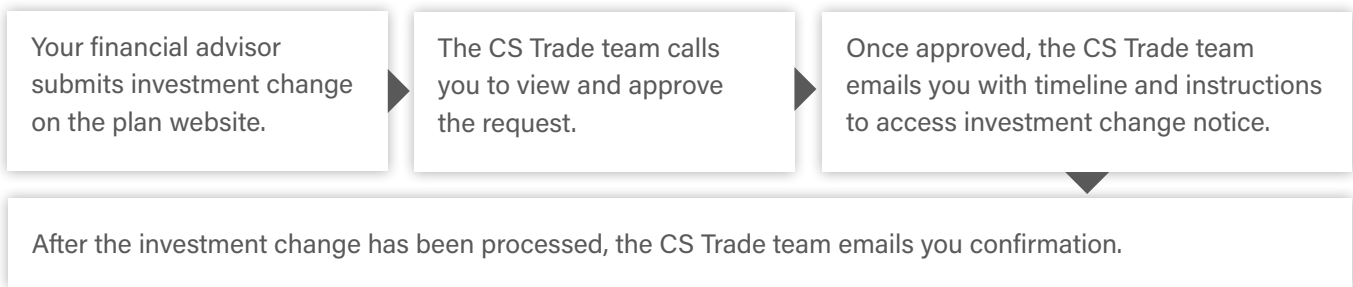
Q: Are there limitations to the effective date that can be selected?

A: The earliest effective date will vary based on the type of change requested and with the assumption Ascensus will be responsible for creating and distributing the fee disclosure. Please refer to the chart below.

Type of Request	Earliest Effective Date From Today's Date
Fund Add and/or Fund Exchange	50 days
Model Portfolio Change and/or Model Rebalance Only	10 business days
Model Rebalance Only	8 days

Q: What does the ICM process look like?

A: There are four main stages as illustrated below.




Q: How will I be notified when my financial advisor initiates a change on my plan?

A: After your financial advisor submits a request, the CS Trade team will review the request and contact you for approval. The CS Trade team will then provide a timeline and applicable documents/notices to distribute, if necessary.

Q: How should I notify participating employees of the investment plan changes?

A: We will provide the exact details of the investment changes and post to your plan website within a few business days of the request being approved. When the notices are available, you will receive an email with instructions to download and distribute.

Need assistance with Investment Change Manager?

 Contact Client Service Trade at 877-258-8496.

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