PROCEDURE: Compliance Services Only Election Form
Review Date: June 2013

To establish or modify Compliance Services for a plan, please complete the Compliance Services Only Election form and return to plandocgroup@metlife.com

NOTE: This form is used for Compliance Services Only plans. Please use the standard Plan Change form to establish or modify Compliance services for a full service Recordkept plan.

SECTION 1

Part I of form: Plan Information

- Include all information for the Compliance Services Only plan services are being established for.

Part II of the form: Services Provided

- Indicate which Compliance Service(s) are being requested for the Compliance Services Only plan.
- Check all that apply

Part III of form: Plan Contact(s)

- Add or remove plan contacts for the Compliance Services Only plan.
    1. **COC** Primary Compliance Contact (only one Primary Compliance Contact can be established for a plan. Email address is required).
    2. **CSC** Secondary Compliance Contact.

Part IV of form: Additional Documentation

List of documents that must accompany the Compliance Services Only election form.

SECTION 2

Part I of form: Plan Sponsor Contact

- Include Plan Sponsor Contact information from Section 1/Part I

Part II of form: Plan Service Center (PSC) Login Request

Complete this section for each PSC Login ID request for the Compliance Services Only plan.

This form will accommodate request for 3 separate PSC User IDs. Additional pages may be included as needed.

- Include all contact information for the individual requesting the User ID.

Part III of form: Plan Authorization

- Plan sponsor contact completes this section authorizing Compliance Services be established, and User IDs provisioned for the noted individuals.

Process:
Turnaround time is typically 6 – 10 business days for complete setup.

- MetLife will review and confirm the request.
- MetLife will forward the completed documents to the MetHome Account Management team at methome@retirementpartner.com
- MetHome will;
    - Step 1. Open a new SR to: Plan Implementation / Plan ISIS set-up
    - Step 2. Attach checklist and all related documents requesting 'shell account be established for compliance services only'.
    - Step 3. Once SR is returned from Implementation MetHome adds AM (Met AE) contact (if applicable) to contact servicer. *don't close ticket yet*
    - Step 4. Fax Section 2 PSC User ID request form to Security for processing. Security will establish user ID for contact(s) as requested.
    - Step 5. Route SR to MetLife Compliance for compliance set-up.
    - Step 6. Once completed SR is returned from Compliance verify Compliance tab is visible on PL
    - Step 7. Send confirmation to submitter advising services have been set up and that they will receive an email from their compliance analyst 30 days prior to plan year end.