

To : All DATAIR Clients  
Date : September 26, 2001  
Subject : IRS Approves DATAIR GUST Defined Contribution, Target Benefit, and Defined Benefit Prototype Documents

**We are pleased to announce that the IRS has approved all of our Defined Contribution, Target Benefit, and Defined Benefit Standardized, Non-Standardized and Safe Harbor Prototype Plan Documents.**

We're certain you have a lot of questions, and hopefully this will answer some of the more common ones...

**What About Volume Submitter Plans?**

Our Volume Submitter plans are currently undergoing second-level IRS review. In the next few weeks we should know what changes they may want from us.

**What About Copies of Approval Letters and Copies of the Approved Documents?**

All licensees of our Prototypes will receive copies of our approval letters in the near future, accompanied by RTF (rich text format) file versions of the Core Plan Documents, Trust Agreement, Adoption Agreements and Appendices. These can be viewed, edited and printed using most any word processor, such as Word or WordPerfect. This will enable you to become familiar with the new documents and to manually complete an Adoption Agreement if you urgently need to deliver one for a new plan, for example.

**I've Re-registered the Prototypes in my name. Where are my letters?**

The IRS has indicated to us that all letters will be coming to us. As soon as we receive them, we will be forwarding them on to you. The IRS has not indicated to us the timing for these letters.

**When Will I Get the New Windows-based Document System for GUST Documents?**

We are working hard to complete the first release of our Document System for Windows (DS/Win), which is compatible with Windows 95, 98, ME, NT 4, 2000, and XP.

There are no additional License or Upgrade Fees for DS/Win, but you will be asked to sign a new rider to the current DATAIR License and Support Agreement. We'll be sending these to current licensees of RDS in the next two to three weeks, so watch your mail.

We are on schedule to deliver DS/Win in early November that will include document generation capabilities for the prototypes. This first release will generate the plans, trust agreements, adoption agreements, filing forms and letters, and some ancillary documents and employee communications. It will also contain file transfer utilities to download data from the current DOS RDS system.

Thereafter, there will be a release to add SPD-generation capabilities, as well as additional ancillary documents and employee communications. Volume Submitter documents will be added to the system after their approval. Estimating a target release date for Volume Submitter documents at this time would be premature.

Those of you that currently have our Pension Reporter system will feel right at home with DS/Win as they share the same look and feel, and completing an adoption agreement is much like completing a form in PR/Win. For a sneak peek, go to the Retirement Plan Document System highlights page on our web site and select "View RetireDocs Slide Show".

### **Will there be training for DS/Win?**

We're currently putting together training classes that are centered around the GUST documents, and which will also provide an introduction to the DS/Win system itself. We'll make further announcements once dates and locations are finalized.

### **What about EGTRRA Amendments?**

We're currently drafting EGTRAA model amendments for both the pre-GUST and GUST documents. We will be making these available as a download from the website in October, and will let you know when they are ready. Certain EGTRRA amendments will need to be adopted by plan sponsors by 12/31/2001. We'll keep you abreast of those requirements also.

### **Where can I find out more information?**

We are beginning to build a Frequently Asked Questions (FAQ) page for the new DS/Win system and the GUST documents. Be sure to visit our web site for answers to the most frequently asked questions we receive.

You can also email your questions to [rd.support@datair.com](mailto:rd.support@datair.com), fax them to us at (630) 325-2660, or call our Document System Customer Support group at (630) 325-2600.

If you aren't currently a DATAIR Document System client and are interested in learning more about how we can help you with your GUST restatements and other document needs, please visit the web site or contact your sales representative at [sales@datair.com](mailto:sales@datair.com) or at the fax & phone numbers above.

### **A Reminder About Intent to Adopt Certifications Required By 12/31/2001**

On our website is a sample Remedial Amendment 2000-20 Certification Form, also known as the Intent To Adopt a Prototype or Volume Submitter Document. Just click on Software Updates, and scroll down to the RD section to find it.

Your clients need to sign this form, UNLESS...

- 1) They will restate to an approved GUST document prior to the end of the Remedial Amendment Period, which is the end of the plan year beginning in 2001. For calendar year plans, this is 12/31/2001.
- 2) They are restating to a prototype with the same document sponsor (formerly known as the Regional Sponsor) as their current (pre-GUST) document. In other words, if they are going from DATAIR's to DATAIR's, or from yours to yours, they *do not* need to sign an Intent to Adopt.
- 3) They have currently adopted a DATAIR Volume Submitter document, and intend to adopt a Prototype or Volume Submitter document sponsored by DATAIR.

*Note: If you are re-registering the documents in your own name, you must have applied for re-registration to the IRS prior to 12/31/2000 for exception #2 above to apply*

*If you have missed the 12/31/2000 deadline to re-register the documents, you may still complete an Intent to Adopt under DATAIR's name. You can then, later, actually adopt your own prototype.*

Keep in mind that these certifications must also be countersigned by the document sponsor prior to the end of the Remedial Amendment Period, which is 12/31/2001 for calendar year plans. If they will be adopting plans under DATAIR's name, they must be countersigned by us. If you have reregistered the documents in your name, then you must countersign them.

***Don't miss this important deadline!***