

# COMPLIANCE GUARANTEE NAT

**NAI will GUARANTEE your plan will be in compliance with the IRS and Department of Labor (DOL)**

- 95% of defects that are discovered by the IRS/DOL are operational in nature! They either fail to operate the plan according to the plan document or the compliance testing is inaccurate.
- When performing a basic general review of a plan that transfers to NAI, approximately 95% of those are found to have operational and/or compliance testing defects.

If a defect is found by the IRS or DOL which results in fines or penalties, NAI will waive the audit assistance fees and will cover the fines/penalties assessed.



Disclaimer: The Compliance Guarantee will not cover circumstances where the plan sponsor provides incomplete or inaccurate data. This also does not cover operational defect that NAI did not advise the plan sponsor how to handle. The guarantee does not cover the plan sponsor from not completing or distributing any notices or forms.