

Retirement Plan Proposal Questionnaire

This information will enable us to provide a meaningful initial proposal.

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Legal Name of Entity: _____

Fiscal Year End: _____

Type of Entity: C Corp. S Corp. Sole Prop. LLC Other _____

Desired contribution amount (if known:) _____

CENSUS DATA:

Emp. #	Name (last, first initial)	Birth Date	Hire Date	Ownership Percentage, if any	Termination Date (if applicable)	Projected Annual Compensation for this year	Estimated Employee 401K Deferral ¹	Part time? (less than 1,000 hours)	Indicate Relationship to Owner, if any
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									

¹ This is the employee's portion, NOT the employer match. Indicate either the \$ or % for this year.

EMPLOYER INFORMATION

Name of Employer _____

Address _____

City _____ State _____ ZIP _____

Phone _____ Fax _____ Email _____

Type of firm: C Corp. S Corp Sole Prop LLC Other _____

Date of Incorporation or Business Started _____ State _____

Taxable Year Ending _____

Nature of Business _____

How long has the present business been in existence? _____

If present business is a continuation of, or a successor to, a business, describe history briefly.

Is there an existing plan in this entity: Yes No

If yes, what kind of plan is it and please **attach a current Summary Plan Description and last year's valuation for the Plan.**

SEP

SIMPLE Plan

401(k) Plan

Safe Harbor

Prototype

Cross Tested Plan

Are you using Profit Sharing in your plan currently?

What % has the employer historically been giving in Profit Sharing? _____%

Defined Benefit or Cash Balance Plan (or was one used previously by the employer?)

Are the owner(s) currently contributing the maximum allowable to the plan?

Yes

No

Do the owner(s) desire to contribute the following amounts into their plan?

\$50,000 (\$55,000 with catch-up)

An amount above \$50,000 (\$55,000 with catch-up)

Do any Shareholders of the Corporation have an ownership interest in any other business (either incorporated or unincorporated)? Yes No

If yes, answer the following:

(a) Your percentage of ownership in each of the other businesses:

(b) Name of the other owners and percentage owned in each of the other businesses.

(c) Indicate whether any of the other owners of the other businesses are related to you, and if so, what is this relationship:

(d) Are there retirement plans in any of the other businesses; if so, describe details.
