



Retirement Plans: Design, Administration, Compliance

PO Box 142128 ■ Fayetteville GA 30214 ■ (770) 719-2247 ■ Fax (770) 719-4623

Today's Date: \_\_\_\_\_

We will be glad to review your existing plan document and make suggestions as to how your plan might better meet your goals and objectives. Please provide the following:

**PERSON REQUESTING A PLAN AND DOCUMENT REVIEW:**

\_\_\_\_\_  
Name Email Phone

\_\_\_\_\_  
Company Name and Address Relationship to Plan

**PLAN SPONSOR INFORMATION**

\_\_\_\_\_  
Company Contact Name Email Phone

\_\_\_\_\_  
Company Name and Address Fax

\_\_\_\_\_  
Plan Name

**GENERAL PLAN INFORMATION**

Total number of employees: \_\_\_\_\_

Number of employees who might be considered eligible: \_\_\_\_\_

Of those eligible, number of employees who are likely to defer: \_\_\_\_\_

Amount of assets currently in the plan, if start up enter zero: \_\_\_\_\_

Is the plan sponsor a member of a controlled group of entities? If yes, please indicate the companies:

\_\_\_\_\_  
Brother/Sister/Parent Company Name Number of Employees Does this entity have a plan?

\_\_\_\_\_  
Brother/Sister/Parent Company Name Number of Employees Does this entity have a plan?

**PLAN DOCUMENT**

Please provide a copy of the current plan document including, if available: Basic plan document, Adoption Agreement, Favorable Determination Letter, Plan Amendments and Summary Plan Description

**EMPLOYEE CENSUS**

Please provide annualized census information **for all employees**. Identify those employees who are owners of the company and any employees related to owners. An excel spreadsheet is preferred but not required. Information should include:

- Name
- Gross Compensation
- Hours Worked
- Date of Birth
- Date of Hire
- Date of Termination.



Today's Date: \_\_\_\_\_

Plan Name: \_\_\_\_\_

## To Do List for Plan Set up and Conversion

### The following are guidelines for the smooth transition of an existing plan.

1. Gather preliminary census data and documents for review \_\_\_\_\_
2. Review suggestions for plan and document changes \_\_\_\_\_
3. Review fund selection \_\_\_\_\_
4. Prepare documents and contracts for signature \_\_\_\_\_
5. Provide draft letter for transfer of assets \_\_\_\_\_
  - Please provide prior recordkeeper contact information including name, email and address.
  - We will prepare for signature letters of liquidation, acceptance, transfer, termination, etc.
6. Establish date of liquidation/transfer \_\_\_\_\_
7. Enroll participants and provide Blackout Notice \_\_\_\_\_
8. Gather current census data \_\_\_\_\_
9. Submit payroll details and initiate deposit procedures \_\_\_\_\_
10. Reconcile transferred assets – received and invested \_\_\_\_\_
11. Lift Blackout & Issue PIN letters to Participants for access to website \_\_\_\_\_

### The following are guidelines for the smooth implementation of a start up plan.

1. Gather preliminary census data for review \_\_\_\_\_
2. Review suggestions for plan document \_\_\_\_\_
3. Review fund selection \_\_\_\_\_
4. Prepare documents and contracts for signature \_\_\_\_\_
5. Enroll participants \_\_\_\_\_
6. Gather current census data \_\_\_\_\_
7. Submit payroll details and initiate deposit procedures \_\_\_\_\_
8. Issue PIN letters to Participants for access to website \_\_\_\_\_