

INFORMATION CHECKLIST FOR EXISTING PLANS

If you are a NEW PENSION / PROFIT-SHARING PLAN – please fill out the Information Checklist and Employee Census Form. This page is only for companies who have existing plans. Thank you

With the recent changes in pension legislation, a plan history must be maintained to calculate benefits, contributions and corporate deductions. In order to service your plan properly, we require copies of the following:

1. Executed plan and trust documents, including all amendments.
2. Form 5300/5301 filed with the Internal Revenue Service.
3. Most recent Internal Revenue Service favorable determination letter.
4. Summary Plan Description, if applicable.
5. Form 5500-C/R, with attachments, for the last three years. Include Schedule A, Schedule B, Schedule P and Schedule SSA.
6. Actuarial valuation for the last three years. For Defined Benefit Plans, include accrued benefits and contribution calculations. For Defined Contribution Plans, include account balances for each participant.
7. Provide a list of all retired participants currently receiving benefits or due benefits. Include dates of birth, dates of hire, dates of termination or retirement, amount and frequency of payments, and form of payment.
8. If the plan provides insurance, for each policy in force under the plan, please provide the name of the insured, insurance company, policy number, face amount, premium and frequency, type of policy, status, and cash surrender value at normal retirement age.
9. A list of all employees for each of the past five years as well as the current year. Include Social Security Numbers, dates of birth, dates of hire, compensation for plan purposes, and hours of service worked.
10. A list of all distributions to former plan participants in the past five years.
11. Statement of the assets of the trust as of the end of the plan year for each of the last three years. A schedule of receipts and disbursement of the trust for each of the last three years and the accountant's certified statement, if available.
12. A list of stockholders and officers of the company, including any changes in the past five years.