



<b>If you have a 401(k) Plan, has the Company made “timely deposits” of employees’ deferrals and/or loan payments?</b>	
<input type="checkbox"/> Yes (Timely deposits are made simultaneously with payroll withholding)	<input type="checkbox"/> No

<b>Do you have a fidelity bond for this plan?</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
A fidelity bond is mandatory for all plans covering more than the trustee and his/her spouse. (For additional bond information, refer to pages 3-4.)	
<b>Name of bonding Company:</b>	<b>Amount of bond:</b>

<b>Does the plan hold any non-publicly traded assets (i.e., real estate, limited partnerships, collectibles, etc.)?</b> (For additional information, refer to page 4.)	
<input type="checkbox"/> Yes <input type="checkbox"/> No   If “yes”, list below.	
Asset:	Fair Market Value At Plan Year End: \$
Asset:	Fair Market Value At Plan Year End: \$
Asset:	Fair Market Value At Plan Year End: \$

<b>Union Employees</b>	<b>Total</b>
At the end of the plan year, how many employees were union employees whose retirement benefits were subject to collective bargaining agreements?	

<b>Has the Company sponsored any new retirement plans not administered by our office? (i.e., SEP, SARSEP, SIMPLE, 403(b), 457 plans, etc. — active or frozen.)</b>
If “yes”, provide name(s) of plan(s):

**III. TRUST INFORMATION**

Each year, in order to prepare an accurate Annual Report for your retirement plan, certain information about the trust account for the plan is required. Each plan is different and, therefore, some or all of the following information may apply to your plan.

**Trust Fund Statements**

- Copies of monthly trust fund statements are required.
- If we do not receive copies from your brokerage institution, send copies of all statements for the plan year period and explain each deposit and each withdrawal on the statement.
  - If any investments or assets are held outside a brokerage account, send statements providing that information to us.
  - If a complete income statement and balance sheet are provided by you or your accountant, trust fund statements may not be required. Confirm this with your accountant.

**Participant Loans or Notes Receivable**

Copies of any new loans/notes are required with a payment schedule for all participant loans and notes receivable.

**IV. COMPANY CHANGES**

If there have been Company changes during the last year, enter all new information in the applicable sections below.

**Entity**

C-Corporation     S-Corporation     Partnership     Sole Proprietorship     LLC/LLP

**Company Owners**

Names	% Ownership	Related to any employee?	If "yes", provide name & relationship (i.e., spouse, child, parent, grandparent, etc.)
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
		<input type="checkbox"/> Yes <input type="checkbox"/> No	

**Have any Owners acquired ownership in any other business?**

If "yes", provide the Owner's name and the name of the Company.


**Company Officers and Titles**

Name	Title	Name	Title

**Did the Company lease or share any employees during this plan year?**

Yes     No    If "yes", provide the following information:

Employee Leasing Company	Employer Payroll ID#	Names of Leased or Shared Employees	Total # Leased Employees

**V. ADDITIONAL INFORMATION**

**Bond Information**

In order to avoid a plan audit, your bond amount must be sufficient. Failure to comply with the following bonding requirements could result in IRS/DOL penalties and additional administrative costs.

- A fidelity bond is mandatory for all plans covering more than the Trustee and his/her spouse.
- The amount of required coverage is at least 10% of plan assets at the beginning of each year. There is a minimum coverage requirement of \$1,000 and the normal maximum is \$500,000.

**Important!** There are additional bonding requirements that may apply to small plans with fewer than 100 participants that have invested in non-qualifying assets.

- Non-qualifying investments are assets not held at a financial institution and include items such as deeds of trust, land, limited partnerships, collectibles, etc.
- The additional bonding requirements apply to small plans if the non-qualifying assets exceed 5% of the plan's total assets. The bond must be equal to the value of the non-qualifying assets. Following is an example of how to calculate the additional bonding amount:
  - Total trust value equals \$800,000. \$200,000 represents holdings in deeds of trust. In this case, 25% of the investments are non-qualifying assets, which clearly exceed 5% of the plan's total assets. An additional bond is required for the \$200,000 non-qualifying assets minus a credit for whatever bonding amount was obtained for the normal 10% bonding requirement. Therefore, if a 10% bond is already in place for the amount of \$80,000 (10% X \$800,000 = \$80,000), then this plan must have an additional bond for \$120,000 (\$200,000 minus \$80,000 = \$120,000).
- **If additional bonding is not obtained, the plan must pay for an audited financial statement for the plan.**

<b>Non-Publicly Traded Investments</b>
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Trust accounts holding non-publicly traded investments that are not shown on the brokerage account or otherwise reported to us, require additional information.

- Non-publicly traded investments may include real estate, limited partnerships and/or collectibles such as antiques or art.
- The section of the Retirement Plan Information Request Form regarding the "fair market value" of these non-publicly traded investments must be completed.
- The IRS and the Department of Labor require that the market value of plan assets be updated every plan year. Therefore, you may not carry these assets at cost or continue applying the appraised value of a prior year. *A new market value appraisal must be obtained each plan year.*

<b>VI. COMMUNICATION</b>
Communication is the <i>key</i> to better service – your <i>feedback</i> is important to us!
How would you rate the overall service you received from our firm? <input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Fair <input type="checkbox"/> Poor
How can we improve our service to you?

<b>Please provide the name of the person to contact if we have questions regarding information completed on this form.</b>
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Name:
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<b>Please sign below and return all completed forms to our office.</b>
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Completed by (print name):	Title:
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Signature:
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Date:
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