



ORLANDO

401k Specialists

401k Documents Request

Replacing Existing Plan

- 1) Plan document, Adoption Agreement and/or Summary Plan Description
- 2) Most recent Annual Report that includes discrimination testing
- 3) Most recent Plan tax return (5500 series)
- 4) Most recent Employee Census provided to the current Plan Provider
- 5) Name, title and email address of person signing contract
- 6) Name, title and email of primary contact if not the person signing the contract

Start-Up Plan

Employee Census need not be submitted until after the agreement is signed by the client.

- 1) Legal name of Plan Sponsor (the company), address, EIN# and type of entity (e.g., C-Corp, S-Corp, LLC, partnership, sole proprietor, non-profit, etc.)
- 2) Legal name of Plan (example...ABC Widgets 401k Plan)
- 3) Name, title and email address of person signing Contract
- 4) Name and email address of primary contact if not the person signing the Contract
- 5) Employee Census – a spreadsheet of all employees on the payroll during this year including;

- 1) First & Last Name
- 2) Sex
- 3) Date Of Birth
- 4) Indicate If Owner Or Spouse/Children Of Owner
- 5) Date Of Hire
- 6) Date Of Termination If During Current Year
- 7) Annual Compensation
- 8) Projected Annual 401K Contribution
- 9) Note If Any Employees Work Less Than 1,000 Hours Per Year
- 10) Annual Contribution Objective of Owners (s) e.g., less than \$20G, \$20G-30G, \$50G, \$100G, or What Range

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