

New Client Plan Fact-Finder

Plan Design Outline (answer all that are applicable or known at this time)

- I. General Information
 - a. Legal name of entity
 - b. Primary contact (name and number)
 - c. Entity type (S, C, LLC, etc.)
 - d. FEIN#
 - e. Fiscal year end
 - f. Business address, phone, fax and email
 - g. Any control or affiliated service groups?
 - h. Plan Name
 - i. Effective Date of Plan

- II. Trustee Information
 - a. Legal name of trustee(s)
 - b. Trustee address
 - c. Phone, fax and email

- III. Eligibility and Entry
 - a. Service requirement (up to 1 year or 1,000 hours over 12 months)
 - b. Age requirement (up to 21)
 - c. Entry dates (at least 1/1 and 7/1)
 - d. Same for all plan contributions?
 - e. Recognition of service with a former employer?
 - f. Any exclusions (union, non-resident alien, etc.)

- IV. Employer Contributions
 - a. Discretionary match? If yes, what formula?
 - b. Safe harbor match (100% of first 3% and 50% of next 2%)
 - c. Discretionary non-elective contribution/Profit Sharing?
 - d. Allocation Method (pro-rata, integrated, cross-tested)?
 - e. Safe non-elective contribution (3% to all eligible)?
 - f. Any allocation conditions (last day, hour requirement, both)?

- V. Asset Information
 - a. Are the investments participant or trustee directed?
 - b. Are the assets in traditional (mutual fund) or non-traditional (real estate, private placements, etc.) investments?
 - c. Who is the recordkeeper/custodian providing valuation information?

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414 N. Orleans #205
Chicago, IL 60610

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293 Dennett Street
Portsmouth, NH 03801

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- VI. Vesting of Employer Contributions (Non-Safe Harbor monies?)
 - a. Six-year graded (0, 20, 40, 60, 80, 100%)
 - b. Three-year cliff (0, 0, 100%)

- VII. Distributions (other than Death, Retirement, Disability or Termination)
 - a. Plan loans
 - b. Hardship distributions
 - c. In-Service at age 59 ½

- VIII. Other Plans of the Entity or Affiliated/Control Group Companies
 - a. Are there any other Defined Contribution Plans (401(k), Profit Sharing, Money Purchase Plan, etc.)
 - b. Are there any Defined Benefit Plans?
 - c. Are there any Non-Qualified Plans?
 - d. Are there any known outstanding IRS or DOL compliance issues?

For questions or follow-up please contact Steve Scott at 866-352-7731 x21, fax 312-245-9513, or email steve@retirementsolutiongroup.com.