



Pension Administration

# DB Retirement Plan Questionnaire

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Company Name: \_\_\_\_\_  
Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_  
Address: \_\_\_\_\_ Fax: \_\_\_\_\_  
City, State, Zip: \_\_\_\_\_ Email: \_\_\_\_\_  
Broker: \_\_\_\_\_ Brokerage Firm: \_\_\_\_\_  
Plan Assets: \$ \_\_\_\_\_ Custodian: \_\_\_\_\_

Business Entity Type:  Corporation  "S" Corporation  Partnership  
 Professional Corporation  Tax Exempt-Gov't  \_\_\_\_\_

Number of Employee's: \_\_\_\_\_ Number of Retiree's: \_\_\_\_\_ Number of Vested Employee's: \_\_\_\_\_

Business Start Date: \_\_\_\_\_ Employer Tax Id: \_\_\_\_\_  
If Incorporated, what State: \_\_\_\_\_ IRS Business Code: \_\_\_\_\_  
Nature of Business: \_\_\_\_\_  
Employer Tax Year:  Calendar  Fiscal (Please Provide) \_\_\_\_\_  
Name of Attorney: \_\_\_\_\_  
Name of Accountant/Firm: \_\_\_\_\_

Takeover Documents	
<input type="checkbox"/> Latest IRS Form 5500 and related schedules	<input type="checkbox"/> Schedule of Funding Deposits
<input type="checkbox"/> Last 2 plan year Schedule B's	<input type="checkbox"/> Most recent Census Data sent to current TPA
<input type="checkbox"/> Copy of SPD (Summary Plan Description)	<input type="checkbox"/> Copy of last 2 plan year PBGC Filings
<input type="checkbox"/> Employer Plan Valuation from Current TPA	<input type="checkbox"/> Copy of Plan Document & Trust (Adoption Agreement)
<input type="checkbox"/> Most recent Trust Financial asset report	<input type="checkbox"/> Copy of ERISA Fidelity Bond

Names of Principals/Shareholders  
% of Business Ownership

Names of Family Members of Principals  
/Shareholders Employed by Plan Sponsor \*

_____	_____ %	_____	Relationship
_____	_____ %	_____	Relationship
_____	_____ %	_____	Relationship

Do the principals own, control or manage any other business?  Yes  No  
Is the plan sponsor a member of a controlled corporate group or other related entity?  Yes  No  
Is the Plan Sponsor a member of an affiliated service group?  Yes  No

Where in your current plan do you see the most opportunity for improvement?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_