the Pension Studio

YEAR-END QUESTIONNAIRE –

When completing the year end testing and the form 5500 we rely on the census data provided to us and the answers to this questionnaire. It is extremely important that we receive accurate data on all employees of the company, including leased and part-time employees.

Company Name ____

Plan Year End ______________________ Tax ID ____________________________

Employer Fiscal Year End______________Natureof Business or Business Code________________
Business Structure:

☐ Corporation ☐ S Corp. ☐ Sole Proprietor
☐ Partnership ☐ LLC*_____________☐ Other____________

* Please state whether you are taxed as a Sole Proprietor or a Corporation. Sole Proprietor is the default. Please ask your accountant if you are unsure.

Fidelity Bond Amount and Insurance Carrier______________________________________
(Note: If you do not currently have a bond for the plan, you should obtain one for a minimum of 10% of the total plan assets.)

Does any owner of this company own a substantial portion (10% or more) of any other corporation, partnership, or sole proprietorship? ☐Yes ☐No

If yes, please provide additional information such as the name of the other entity, the nature of business, percentage of ownership, number of employees, etc.
(This information is necessary for Compliance Testing purposes.)

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Compensation:
The Pension Studio is relies on the Compensation information provided to accurately perform the compliance testing on your plan. Please refer to your Adoption Agreement Section 5-1 through 5-3 to determine your plans specific compensation definition. **Please provide a copy of your 2011 year end W-3 for total confirmation.**

Compensation provided is(Please choose one)

☐ Gross Wages (box 1)
☐ Gross Wages with Fringe Benefits added in
☐ W-2 Taxable Income (box 3)
☐ W-2 Taxable Income with pretax Benefits added back in
☐ Other ____

For 401(k) Plans Only. Please provide us with the following year to date figures:
(It is extremely important that we obtain these totals to confirm the accuracy of our year-end figures.)

401(k) Deferral total: ___________________

401(k) Roth Deferral total: ___________________

401(k) deposited after 12/30/11 for 2011 ___________________

****Match total:** ___________________

Match deposited after 12/30/2011 for 2011 ___________________

Match formula used if deposited with each payroll ____

Safe Harbor Contribution Total: ____________________

Safe Harbor Deposited after 12/30/2011 for 2011 ____________________

Safe Harbor contribution formula used if deposited with each payroll ____________________________

Profit Sharing total: ____________________

Profit Sharing Deposited after 12/30/2011 for 2011 ____________________

Profit Sharing formula used if deposited with each payroll ______________________________________

*** Only if funded throughout the year.*

For 401(k) Plans Only. Would you like the Pension Studio to calculate a matching contribution?

☐ Yes ☐ No **If yes**, please provide the matching formula: _______________________________

For ALL Plans:

Do you plan to make a Discretionary Profit Sharing Contribution for this plan year? ☐ Yes ☐ No

If yes, would you like the Pension Studio to calculate the maximum contribution? ☐ Yes ☐ No

Accountant:____Phone:________________________
Email:____Copy on correspondence: ☐ Yes ☐ No

Broker____Phone:________________________
Email:____Copy on correspondence ☐ Yes ☐ No
Who is the person in your firm we should contact for more information?

Name:____

If you would like us to provide your entire year end reports (or a portion) electronically (via download from our secure server), please indicate which portion of the valuation package below: If no election is made we will provide this information to you via our secure server.

Valuation	☐ Yes ☐ No
Compliance Testing	☐ Yes ☐ No
Employee Annual Statements	☐ Yes ☐ No
Form 5500	☐ Yes ☐ No

Additional Notes or Comments:

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Thank you for taking the time to complete this questionnaire in full. The information obtained here is extremely important to assure that we are able to process your year-end valuation accurately, and in a timely manner.

_____________________________________ _______________________________
Contact Signature Date

As always please feel free to contact me directly with any questions that you might have. Please return this completed form, along with your census spreadsheet, via email to Cathy@thepensionstudio.com or fax to 800-883-1970.