**Defined Contribution Plan Intake**

Defined Contribution Plan (DC): a retirement plan that's typically tax-deferred (401(k) or a 403(b)) in which employees contribute a fixed amount or a % of paychecks to an account to fund retirement. Company usually matches a portion of employee contributions. DC plans can be contrasted with defined benefit (DB) pensions, whereby retirement income is guaranteed by an employer. With a DC plan, there are no guarantees, and participation is both voluntary and self-directed.

1. Participant (P) Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Alternate Payee (AP) Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Plan Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Employer Name/Plan Sponsor:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Contact Person at Employer:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Telephone Number:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Fax:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Mailing Address:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Email:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Website with employee benefit information:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Plan Administrator:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Plan Administrator Contact Person:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Telephone Number:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Fax:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Mailing Address:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Email:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Website with Plan information:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

4. Participant/Employee Hire Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Still Employed?\_\_\_\_\_

Date of Termination:\_\_\_\_\_\_\_\_\_ Date of Retirement:\_\_\_\_\_\_\_\_\_\_\_\_

Normal Retirement Age:\_\_\_\_\_\_\_ Earliest Retirement Age:\_\_\_\_\_\_\_\_

5. Other Specific Questions for DC Plans:

* What is Date of Valuation (DOV)? \_\_\_\_\_\_\_\_\_\_ (Month/Day/Year)
  + If this is blank and silent in your Order/Agreement, the DOV will be identified in the QDRO as the Date of Segregation (DOS)(future date- when funds are transferred to AP)
* Is AP’s share adjusted for gains and losses from the DOV to the DOS?
  + \_\_\_\_\_Yes \_\_\_\_\_No
  + If this is blank and silent in your Order/Agreement, the QDRO **will NOT** include gains and losses language
* If AP is receiving a percentage (%), and there are outstanding loans, are the loan balances added back in before division? (For example: The statement shows the account balance as $100,000 and the loan balance as $10,000, the total account balance to be divided will be $110,000). This is not relevant for a dollar amount award.
  + \_\_\_\_\_Yes \_\_\_\_\_No
  + If this is blank and silent in your Order/Agreement, the QDRO WILL specify that the loan balance SHALL be added back in prior to division.
* Is there a pre-marital balance to be backed out? \_\_\_Yes \_\_\_No
  + If YES, provide account stmt as of Date of Marriage (DOM)[[1]](#footnote-1)
* Have any prior QDROs been filed on this plan? \_\_\_Yes \_\_\_No
  + If YES, provide all QDROs related to this Plan/Account.

**Additional Forms to Provide:**

* Account Statement as of the date of valuation (date funds are to be valued)
* Any prior QDROs related to this Plan MUST be provided.

1. If the Plan does not have financial data as of the DOM or P doesn’t have a statement as of DOM, you need to do a calculation to determine a flat $ amount or % as of a date after the earliest plan financial information. [↑](#footnote-ref-1)