

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: _____

2. Plan Name: _____
Employer Name/Plan Sponsor: _____
Contact Person at Employer: _____
Telephone Number: _____ Fax: _____
Mailing Address: _____
Email: _____
Website with employee benefit information: _____

3. 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

- 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.