

QUALIFIED PLAN DESIGN WORKSHEET

SECTION 1: REFERRER INFORMATION

Name: _____
Phone: _____ Email: _____
Send Plan Document for signature: to me for delivery to client directly to client

SECTION 2: GENERAL INFORMATION

Company Name: _____
Type of Entity: C Corp S Corp LLC (taxed as a) S Corp Partnership/Sole Prop
Partnership Sole Proprietor
Owner(s): _____ % _____ %
_____ % _____ %
EIN: _____ Fiscal Year End: _____ (mm/dd)
Address: _____
Phone: _____ Fax: _____
Primary Contact: _____ Email: _____
CPA Name: _____ CPA Phone: _____
Plan Name: _____
Plan Trustee(s): _____
Additional Qualified Plan(s): No Yes, Plan Name _____ Plan # _____
Controlled Group of Affiliated Service Info: _____
Effective Date of Plan: _____

SECTION 3: PLAN SPECS (No need to complete if OWNER ONLY PLAN)

Type of Plan: Traditional 401(k) Safe Harbor 401(k) Profit Sharing
Traditional DB Cash Balance DB
Excluded Employees: Union/Non-Resident Other: _____
Plan Eligibility: Service- _____ (months) Age- _____ (years) Entry Dates- _____
Vesting Schedule (ER Disc Only): 6-year graded 100% immediate 3-year cliff
Other: _____
Vesting Begins: From Hire Date From Plan Effective Date
Safe Harbor Formula: N/A Basic Match 4% Match 6% Match 3% Non-Elective
Roth Deferrals: Allowed Not Allowed In-Plan Roth Conversions: Yes No
401(k) Automatic Enrollment: N/A 3% 4% 5% 6% Other: _____%
QACA EACA
Applies to: Current EEs with no election on file Current EEs who haven't elected at least default %
Does not apply to current EEs
Auto Increase: N/A Yes, _____ % per year up to a max of _____ %
Applies to: Beginning of 1st Plan Year Beginning of 2nd Plan Year
Permissible Withdrawals: No Yes, within: 90 days Other: _____ (days)
QDIA: _____
Match Calculation Based On: N/A Payroll Period Plan Year
Plan Loans: Yes No Hardship Withdrawals: Yes No
Payroll Period: Every Two Weeks Semi-Monthly Weekly Other, _____
Participant Direction: Individual Direction Trustee Directed Pooled Account
Financial Institution to hold assets: _____

Set-up Fee Quoted: \$ _____ Annual Admin Fee Quoted: \$ _____ + \$ _____ per participant

Notes: _____

