

Items Necessary for Plan Takeover

This information is required to properly assume administration on an existing plan. We are happy to answer questions or provide clarification on any of the requested items.

Current Census Data (form enclosed), including:

- Name
- Social Security number
- Date of Birth
- Date of Hire
- Current compensation (year to date closest end of quarter to takeover)
- Hours worked year to date
- Termination date, as applicable
- Current deferral percentage (applicable to active 401(k) Plans)

Current Valuation of Assets

- Transfer In Valuation must have:
 - Total that matches funds wired or check presented, or explanation for difference
 - Breakdown containing
 - Name
 - SSN
 - Total account balance per Participant
 - Account balance separated by Participant then Source
 - Sources clearly identified
 - Loan Balances for all active loans
 - Original loan amount
 - Current balance
 - Source(s) of loaned funds
 - Amortization schedule

Contact information for Prior TPA

- Contact Name
- Address
- Email address
- Telephone and fax

Name, Address & Contact Name of Prior Record keeper

- Include account numbers, passwords or ID numbers needed for access
- Contact Name
- Address
- Email address
- Telephone and fax

Previous 2 Years' Trust Accounting

Previous 2 Years of 5500 EZ/C/R filing

- With all attachment and schedules

Current Plan Document

- Include all amendments
- Include individual determination letter or volume submitter or prototype letter

Summary Plan Description

Finally, prior to crediting the transfer balance, we must have an enrollment form from every Participant with a balance (including those terminated) or an authorization letter from the Trustee authorizing deposit of Participant balances without enrollment forms to a Trustee designated fund.