



COOK MARTIN POULSON, P.C.

Certified Public Accountants

Retirement Plan Setup Questionnaire



Employer Information

Employer: _____

Address: _____

NAICS Code: _____

Telephone: _____

Federal ID#: _____

Tax Year End: _____

Type of Entity: _____

- Sole Proprietorship
- Partnership
- Limited Liability Company
- C Corporation
- S Corporation
- Other

Other Businesses Under Common Control: _____

Plan Information

Type of Plan:

- Profit Sharing
- 401(k)
- Safe Harbor 401(k)
- Other

Effective Date: _____

Trustees: _____

Eligibility Requirements

Eligible Employees:

- All Employees
- Exclude Union Employees
- Other Exclusions:

Service Requirement:

- 1 Year (maximum for elective deferrals)
- 2 Years (immediate vesting required)
- _____ Months

Minimum Age:

- No Minimum Age
- 21 or _____ (21 or lower)

Waive Age & Service for Those Employed on Effective Date:

- Yes
- No

Entry Date(s):

- Hire Date (immediate entry)
- 1st Day of 1st and 7th Months
- 1st Day of Following Quarter
- 1st Day of Following Month

Vesting & Forfeitures

Profit Sharing Contributions:

- 100% After 3 Years of Service
- 2-6 Years Graded (2 years/20%)
- Other: _____

Matching Contributions (Other Than Safe Harbor):

- 100% After 3 Years of Service
- 2-6 Years Graded (2 years/20%)
- Other: _____

Vesting Service Prior to Effective Date of Plan Is:

- Included
- Excluded

Years Before Attaining Age 18 Will Be:

- Included
- Excluded

Forfeitures Will Be:

- Reallocated Among Participants
- Used to Reduce Contributions
- Reduce Plan Expenses
- N/A (Fully Vested)

Contributions

Contribution Formula (select all that apply):

- Discretionary (Profit Sharing)
- Fixed Percent of Comp: _____%
- Crosstested (New Comparability)
- Safe Harbor Nondiscretionary (3% Fully Vested Contribution)
- Other: _____

To Be Eligible for Profit Sharing Allocation, Participant Must:

- Be Employed On Last Day of the Year
- Be Credited with Year of Service
- No Requirements

Participants Terminating for the Following Reason Will Share in the Profit Sharing Contribution Regardless of Hours:

- Death
- Disability
- Retirement

Salary Reduction (401k) Contributions:

- Yes
- No

Roth Deferrals:

- Yes
- No

Matching Contributions:

- None
- _____% of Salary Reduction (Maximum Percent of Compensation Subject to Match _____%)
- Discretionary
- Safe Harbor Match (100% of first 3%, 50% of next 2%)
- Other Formula: _____

Retirement Provisions

Normal Retirement Age:

- Age 65 or _____
- Age _____ (5 max) with _____ Years of Service

Early Retirement Age:

- None
- Age _____ with _____ Years of Service

Hardship Withdrawals:

- Permitted
- Not Permitted

Participant Direction of Investments:

- Permitted
- Not Permitted
- Investment Provider: _____

Participant Loans:

- Permitted
- Not Permitted

Interest Rate Prime+ _____

Participant Residential Loans:

- Permitted
- Not Permitted

If permitted, Maximum Repayment Period: _____

In-Service Withdrawals of Employer Funds at Age 59 1/2:

- Permitted
- Not Permitted

In-Service Withdrawals of Rollovers:

- Age 59 1/2
- Anytime

Distributions to Terminees:

- Immediately After Termination
- After Year-End Following Termination

Rollovers Accepted:

- Yes
- No

Matching Contributions (Regular or Safe Harbor) to be Funded:

- Each Pay Period
- With True-Up at Year End
- Without True-Up
- After Year End

Miscellaneous Provisions: _____

Name: _____ Title: _____

Signature: _____ Date: _____



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