# QUALIFIED RETIREMENT PLAN
# TAKEOVER CHECKLIST

Plan Name: ____________________________________________

Plan Year End: ____________________

Please provide the following information for the Plan Year End indicated above:

- ☐ 1. Confidential Employer Information
- ☐ 2. Related Employer Information (if applicable)
- ☐ 3. Confidential Employee Census
- ☐ 4. Copy of Adoption Agreement
- ☐ 5. Copy of Plan and Trust Document
- ☐ 6. Copy of all Amendments (if dated after the Adoption Agreement)
- ☐ 7. Copy of Summary Plan Description
- ☐ 8. Copy of prior IRS Form 5500 (-CR, -EZ), including schedules and attachments
- ☐ 9. Copy of prior year Plan Valuation Reports (eligibility, allocations, account balances, vesting, non-discrimination testing, etc.)
- ☐ 10. Copy of current investment statements
- ☐ 11. Is there currently or has there ever been any pending or actual litigation against one of the fiduciaries of the Plan? ☐ Yes ☐ No If yes, attach explanation.
- ☐ 12. Is the Plan currently under audit or investigation by the IRS or DOL? ☐ Yes ☐ No If yes, attach explanation.

The above information is requested to conduct a suitability review and provide an initial fee estimate. Additional time and expenses may be required over those proposed based on a final review of detailed plan information.

Comments: ____________________________________________

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