

the Pension Studio

YEAR-END QUESTIONNAIRE –

When completing the year end testing and the form 5500 we rely on the census data provided to us and the answers to this questionnaire. It is extremely important that we receive accurate data on all employees of the company, including leased and part-time employees.

Company Name _____

Plan Year End _____ Tax ID _____

Employer Fiscal Year End _____ Nature of Business or Business Code _____

Business Structure:

- Corporation S Corp. Sole Proprietor
 Partnership LLC* _____ Other _____

* Please state whether you are taxed as a Sole Proprietor or a Corporation. Sole Proprietor is the default. Please ask your accountant if you are unsure.

Fidelity Bond Amount and Insurance Carrier _____

(Note: If you do not currently have a bond for the plan, you should obtain one for a minimum of 10% of the total plan assets.)

Does any owner of this company own a substantial portion (10% or more) of any other corporation, partnership, or sole proprietorship? Yes No

If yes, please provide additional information such as the name of the other entity, the nature of business, percentage of ownership, number of employees, etc.

(This information is necessary for Compliance Testing purposes.)

Compensation:

The Pension Studio relies on the Compensation information provided to accurately perform the compliance testing on your plan. Please refer to your Adoption Agreement Section 5-1 through 5-3 to determine your plans specific compensation definition. **Please provide a copy of your 2009 year end W-3 for total confirmation.**

Compensation provided is (Please choose one)

- Gross Wages (box 1)
 Gross Wages with Fringe Benefits added in
 W-2 Taxable Income (box 3)
 W-2 Taxable Income with pretax Benefits added back in
 Other _____

For 401(k) Plans Only. Please provide us with the following year to date figures:

(It is extremely important that we obtain these totals to confirm the accuracy of our year-end figures.)

401(k) Deferral total: _____

401(k) Roth Deferral total: _____

401(k) deposited after 12/30/09 for 2009 _____

****Match total:** _____

Match deposited after 12/30/2009 for 2009 _____

Match formula used if deposited with each payroll _____

****Safe Harbor Contribution Total:** _____
Safe Harbor Deposited after 12/30/2009 for 2009 _____
Safe Harbor contribution formula used if deposited with each payroll _____

****Profit Sharing total:** _____
Profit Sharing Deposited after 12/30/2009 for 2009 _____
Profit Sharing formula used if deposited with each payroll _____

*** Only if funded throughout the year.*

For 401(k) Plans Only. Would you like the Pension Studio to calculate a matching contribution?

Yes No **If yes**, please provide the matching formula: _____

For ALL Plans:

Do you plan to make a Discretionary Profit Sharing Contribution for this plan year? Yes No

If yes, would you like the Pension Studio to calculate the maximum contribution? Yes No

Accountant: _____ Phone: _____
Email: _____ Copy on correspondence: Yes No

Broker _____ Phone: _____
Email: _____ Copy on correspondence Yes No

Who is the person in your firm we should contact for more information?

Name: _____

If you would like us to provide your entire year end reports (or a portion) electronically (via download from our secure server), please indicate which portion of the valuation package below: If no election is made we will provide this information to you via our secure server.

Valuation	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Compliance Testing	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Employee Annual Statements	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Form 5500	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Additional Notes or Comments:

Thank you for taking the time to complete this questionnaire in full. The information obtained here is extremely important to assure that we are able to process your year-end valuation accurately, and in a timely manner.

Contact Signature

Date

As always please feel free to contact me directly with any questions that you might have. Please return this completed form, along with your census spreadsheet, via email to Cathy@thepensionstudio.com or fax to 561-820-8178.