

Fox & Lalonde, LLC

*Retirement & Welfare Benefit Plans
Consulting, Design & Administration*

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The following documentation should be gathered for all “takeover” cases. Some of this documentation may not be readily available from the client and will need to be requested from the prior contact administrator and/or investment advisor. We will assist you in obtaining documentation from the prior service providers, if needed.

Please email or overnight mail (needed immediately; please, **do not fax**):

- (1) Copy of the current Plan Adoption Agreement
- (2) Copy of the first page of the latest Form 5500
- (3) Copy of the latest Plan Census
- (4) Copies of the most recent 401k Profit Sharing Allocations, per participant
- (5) Copies of all 401k Profit Sharing Tests from the prior year – ADP/ACP, top-heavy, etc.

Please mail (do not email the plan document, unless it is compressed and in a PDF file. Please, **do not fax**):

- (6) Copy of the Plan and Trust document plus amendments.
- (7) Copy of the latest IRS determination Letter.
- (8) Copies of Allocations or Actuarial Schedules

Provide the last two (2) Allocation Schedules if the Plan is a 401k Profit Sharing Plan or the last two (2) Actuarial Reports if the Plan is a Defined Benefit Plan.

- (9) Schedule of the Plan Assets to accompany (7) above.
- (10) Copies of the Business Card(s) of the designated Plan Contact

Name, address, phone number and any other contact info for the current administrator is needed. F&L will prepare a letter of engagement, as well as, a notice to the administrator for the Plan Sponsor’s signature. F&L will subsequently handle all relevant issues of conversion, rollover, termination, etc. on the Plan Sponsor’s behalf.

- (11) Full forms 5500 plus attachments for the last three (3) Plan Years, plus, copies of last three Plan Year Audits if applicable.

Additional information may be requested depending on the Plan. All documentation should be sent to:

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or

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