



# Retirement Plan Information Request Form

Company Name:

Plan Year End:

## I. PLAN SPONSOR CALENDAR

Return all completed information to APC by Error! Reference source not found.. If not completed and returned in a timely manner, the annual administration process may be delayed and it may not be possible to meet your business tax return deadline.

If all completed information is:

- **Later than 6 months** after your plan year-end, a request for an extension of time for the filing of Form 5500 will be required **there will be an additional charge of \$150.**
- **Later than 8 months** after your plan year-end, we *may* be able to complete the Annual Report and the required filing of Form 5500 in time to meet the extended EBSA filing deadline. **However, a minimum surcharge of 20% of your full administration fee will be assessed in addition to the annual administration fee.**
- **Later than 9 months** after your plan year-end, we *cannot guarantee* completion of the Annual Report or the required filing of Form 5500 in time to meet the extended filing deadline. Important Note: The late filing of Form 5500 incurs an IRS penalty of \$25 per day (up to a maximum of \$15,000). The DOL may also assess penalties of up to \$1,100 per day.

## II. REQUIRED PLAN INFORMATION

Entity

C-Corporation     S-Corporation     Partnership     Sole Proprietorship     LLC/LLP

IF LLC – Taxed as S-Corporation or Partnership \_\_\_\_\_

Company Owners

Names	Ownership %	Related to any employee?	Name and relationship of related employee <small>(i.e., spouse, child, parent, grandparent, etc.)</small>
	%	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	%	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	%	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Company Officers and Titles

Officer Name	Title	Officer Name	Title

List all ownership any owners have in other entities:

Owner Names	Entity Name	Ownership %
		%
		%
		%

<b>Non-publicly traded assets</b> (i.e. properties, limited partnerships, collectables, coins, etc.)	
<b>Asset Name</b>	<b>Value at plan year end</b>
	\$
	\$

**Non-Publicly Traded Investments**

Non-publicly traded investments that do not appear on a brokerage statement may require additional information.

- Non-publicly traded investments may include (but are not limited to) real estate, limited partnerships and/or collectibles such as antiques or art.
- The section of the Retirement Plan Information Request Form regarding the “Value at Plan Year End” of these non-publicly traded investments must be completed.
- The IRS and the Department of Labor require that the market value of property held as a plan assets be updated every plan year. Therefore, you may not carry these assets at cost or continue applying the appraised value of a prior year. *A new market value appraisal must be obtained each plan year.*

If you have a 401k plan, has the company made timely deposits of employees’ deferrals and loan payments? <input type="checkbox"/> Yes <input type="checkbox"/> No (DOL guidelines for timely deposits are within 7 business days of payroll withholding for a plan with less than 100 participants. All plans must have deposits made as soon as administratively possible.)	
Did the company lease or share any employees during this plan year? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the company have any Union employees? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the company sponsor any retirement plan that APC does not administer? <input type="checkbox"/> Yes <input type="checkbox"/> No Name of Plan(s):	
Do you have a fidelity bond for this plan? <input type="checkbox"/> Yes <input type="checkbox"/> No Name of bonding company:	
Amount of bond: \$ (For additional bonding information, please refer to our website.)	

**III. Communication**

Communication is the <i>key</i> to better service – your <i>feedback</i> is important to us!
How would you rate the overall service you received from our firm? <input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Fair <input type="checkbox"/> Poor
How can we improve our service to you?

<b>Please sign below and return all completed forms to our office by Error! Reference source not found..</b>		
Completed by:	Date: / /	Title: