

Firm's Legal Name			Fiscal Year End		
Firm's Contact Name		Title		Date Established	
Address		City		State	Zip
Phone		Fax		Email	
Type of Business <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> LLC (corp.) <input type="checkbox"/> LLC (partnership) <input type="checkbox"/> LLC (sole prop.) <input type="checkbox"/> S-Corporation <input type="checkbox"/> Sole Prop. <input type="checkbox"/> LLP (corp.) <input type="checkbox"/> LLP (partnership) <input type="checkbox"/> Non-Profit				Nature of Business	
				Tax ID (EIN)	
Was there a predecessor company in past 24 months?: <input type="checkbox"/> No <input type="checkbox"/> Yes			Name		Fiscal Year End

Existing/Prior Plan Information

Existing Plans:	<input type="checkbox"/> None <input type="checkbox"/> 401(k) <input type="checkbox"/> Profit Sharing <input type="checkbox"/> SIMPLE <input type="checkbox"/> SEP			Plan Year End	Was there a prior terminated Defined Benefit or 401(k) Plan? <input type="checkbox"/> No <input type="checkbox"/> Yes
	<input type="checkbox"/> Defined Benefit <input type="checkbox"/> Cash Balance <input type="checkbox"/> Other: _____				

Assumptions for Quote / Illustration

Current Assets: \$		Expected Contributions: \$		Proposed Investment Platform:	
# Eligible Employees:	# with Balances:	Safe Harbor: <input type="checkbox"/> No <input type="checkbox"/> Basic Match <input type="checkbox"/> Enhanced Match <input type="checkbox"/> 3%NEC		Benetech's 1 st Year:	
Objective of Owners: <input type="checkbox"/> Basic 401(k) only <input type="checkbox"/> Maximize at \$53k/\$59k (Tiered 401k) <input type="checkbox"/> Maximize above \$59k (DB+401k)					

Advisors

Referral Source: <input type="checkbox"/> Financial Advisor <input type="checkbox"/> CPA/Accountant <input type="checkbox"/> Other:		Other Advisor: <input type="checkbox"/> Financial Advisor <input type="checkbox"/> CPA/Accountant <input type="checkbox"/> Other:	
Name		FA ID#	
Firm		Branch ID#	
Address		Address	
City/State/Zip		City/State/Zip	
Phone	Email	Phone	Email
<small>Benetech occasionally sends information of interest to retirement plan advisors. To opt out, check box below.</small> <input type="checkbox"/> I do not wish to receive general information on retirement plans.		<small>Benetech occasionally sends information of interest to retirement plan advisors. To opt out, check box below.</small> <input type="checkbox"/> I do not wish to receive general information on retirement plans.	

Special Arrangements

Incorrectly answering these questions may significantly change the fees, plan design options, &/or illustration (if an illustration is provided).			
Q1: Does the company, its owners or spouses of owners – together or separately – own 80% or more of another company (or otherwise form a "Controlled Group" of related companies as defined by IRS)?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Q2: Does the company provide "Professional Services" (as defined by IRS, e.g., medical, legal, etc.) in conjunction with another Professional Services company in which there is any common ownership (or otherwise form an "Affiliated Service Group" of related companies as defined by IRS)?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Q3: Does the company provide management services to another business (or group of related businesses) on a regular and continuing basis (i.e., management-type Affiliated Service Group)?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Q4: Does the company use independent contractors? <input type="checkbox"/> Yes <input type="checkbox"/> No	Q6: Does the company use leased or shared employees? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Q5: Does the company have union employees? <input type="checkbox"/> Yes <input type="checkbox"/> No	Q7: Does the company lease employees to other companies? <input type="checkbox"/> Yes <input type="checkbox"/> No		
If you answered "YES" to any of the above, please attach a description of the arrangement(s) on a separate sheet.			

Notes

Confidential Employee Census

List ALL employees paid during the year, including part-time & those terminated during the year. Include additional census pages if necessary.

- **Sole Proprietors** and **Partners** use **net earned income** as “Total Annual Compensation”. **Owners of corps** use **W-2 wages** only.
- Indicate “Family Relationships” by relationship and employee number (example: “Child of #3”).
- Indicate any employee who earned more than \$115,000 in the prior plan year; determines Highly Compensated Employees in the current plan year (assumes a plan year ending 12/31/15).
- The term “officer” for plan purposes has a functional definition indicating an administrative executive. An employee who does not have the title of an officer but who does have the authority of an administrative executive is an “officer” for this purpose. Similarly, an employee with the title of an officer but who does not have the authority of an administrative executive is not an “officer” for this purpose.

Required for Illustration	Employee Name (Last, First)	Officer?	% Owner-ship	Date of Birth	Date of Hire	Date of Termination	Family Relationships	Employee to work LESS THAN 1,000 hours this fiscal year?	Expected Current Year Total Annual Compensation	Total W2 >\$115,000 in Prior Plan Year?
	1.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	2.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	3.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	4.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	5.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	6.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	7.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	8.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	9.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	10.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	11.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	12.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	13.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	14.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	15.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	16.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes
	17.	<input type="checkbox"/>						<input type="checkbox"/> Yes <input type="checkbox"/> Yes, but more than 1000 in a prior year		<input type="checkbox"/> Yes

Notes
