

Owner-only Retirement Plan Questionnaire

Candidates: Companies with no employees other than one owner, or owner & spouse. Other companies should use the standard Questionnaire.

Firm's Legal Name		Fiscal Year End	
Firm's Contact Name		Title	Date Established
Address		City	State Zip
Phone	Fax	Email	
Q1 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)		Nature of Business Tax ID# (EIN)	
Q2 Was there a predecessor business within last 24 months? <input type="checkbox"/> Yes <input type="checkbox"/> No		If "Yes," Predecessor Name	Fiscal Year End Date Established
Q3 Does the company, owner, or spouse – together or separately – own 80% or more of another company (or otherwise form a "Controlled Group")? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Q4 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 common ownership (or otherwise form an "Affiliated Service Group" as defined by IRS)? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Q5 Does the company provide management services on a regular and continuing basis for another company? <input type="checkbox"/> Yes <input type="checkbox"/> No		Q8 Is the owner a member of a union (including SAG, AFTRA, etc.)? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Q6 Does the company use leased, shared, or union employees? <input type="checkbox"/> Yes <input type="checkbox"/> No		Q9 Has owner (or spouse, if an employee) received income in current year as an employee of another business? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Q7 Does the company use independent contractors? <input type="checkbox"/> Yes <input type="checkbox"/> No		Q10 Does the company employ anyone other than the owner or spouse (including part-time employees & relatives)? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Q 11 - Existing Plan: <input type="checkbox"/> None <input type="checkbox"/> Profit Sharing <input type="checkbox"/> 401(k) <input type="checkbox"/> SEP <input type="checkbox"/> SIMPLE <input type="checkbox"/> Defined Benefit <input type="checkbox"/> Money Purchase <input type="checkbox"/> Other: _____		Q 12 - Existing Plan: Have any contributions been made for the current plan year (other than deferrals to a 401(k) plan)? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a	
Q 13 - Prior Plans: Has the company (or a related company) previously sponsored a Defined Benefit Plan or 401(k) Plan? <input type="checkbox"/> Yes <input type="checkbox"/> No			

Plan Objectives

Contribution Objective: <input type="checkbox"/> Maximum <input type="checkbox"/> Specify:	Is contribution flexibility required annually?: <input type="checkbox"/> Yes <input type="checkbox"/> No
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Confidential Employee Census

➤ **Sole Proprietors** and **Partners** should use **net income earned** as "Annual Compensation". Owners of **Corps** use total **W-2 wages** only.

Employee Name (Last, First, MI)	Ownership Percentage	Date of Birth	Date of Hire	Expected Total Compensation for CURRENT YEAR	Compensation for PRIOR YEAR (DB Plans Only)
Owner	%				
Spouse	%				

Advisors

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