

How happy are you with your current benefits program?

Fact finder for an existing plan

Is your current nonqualified plan doing all it can to provide the benefits your key employees value? Having the right plan in place can help your top employees save more for retirement than a 401(k) or 403(b) plan allows — and give you a leg up in recruiting, rewarding and retaining them.

Yes No Do your key employees understand and appreciate the value of their nonqualified plan benefits?

Yes No Are all eligible key employees participating in the nonqualified plan?

Yes No Are the plan investment options offered to your participants meeting their needs?

Yes No Is the administration of your existing plans cost-effective and time-efficient?

Yes No Can you easily access daily valuation of plan liabilities and asset values?

Yes No Are you satisfied with the level of plan administrative services you're receiving?

Yes No Do your participants have the flexibility to take money from the nonqualified plan during retirement and while working, based on personal savings goals? (Not applicable to tax-exempt organizations)

Yes No Are you aware that different plan financing techniques may affect the tax treatment of your nonqualified plan? (Not applicable to tax-exempt organizations)

If you answered “no” to any of these questions, it may be a good time to re-evaluate your existing benefits program to ensure it’s still meeting the needs of your organization and your key employees. We can help you with a detailed review of your plans to see if there are any areas for improvement.

To get started, just complete the questionnaire on the backside and return it to us.

Additional questions can help determine if your current key employee benefits are meeting your needs.

Business profile

1. Organization name _____

2. Type of business entity:
 - Corporation taxed as:
 - ___ C corporation
 - ___ S corporation
 - Limited liability corporation taxed as:
 - ___ Partnership
 - ___ C corporation
 - ___ S corporation
 - Partnership
 - Sole proprietorship
 - Non-governmental tax-exempt organization
3. Total employees in the organization? _____
 - Number eligible to participate? _____
 - Number actually participating? _____
 - Number of highly compensated employees? _____
 - Is a business owner included in the plan?
 - Yes No
4. (Not applicable to tax-exempt organizations)
 - Number of business owners:
 - Publicly traded 1 2 3 4+

4. What is the amount of total current plan liabilities?

5. Is any portion of the liabilities grandfathered as pre-409A benefits?
 - Yes No If yes, what portion? _____
6. Total amount of plan assets informally financing the plan: _____
Type of assets:
 - Corporate-owned life insurance (COLI)
 - Mutual Funds Other
7. Are the plan assets held in a rabbi trust?
 - Yes No
 - If yes, with whom? _____
8. What is the approximate amount of new annual plan contributions? _____
9. How much are the employer contributions? _____
10. What do you and your employees:
 - Like about your plan?

 - Not like about your plan?

11. What types of employee and employer reports are provided by your administrator? _____

Existing plan information

1. How long has your plan been in place? _____
2. Who is the current plan administrator?

3. What are the annual plan administrative services fees?

To help complete the review process of your current benefits plan, please provide copies of the following:

- Nonqualified plan documents (agreement)
- Trust (if applicable)
- Adoption agreement
- Total plan assets and liabilities
- Asset information (mutual funds or life insurance policies)
- Latest employer statement
- Sample employee statement

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