403B INTAKE QUESTIONNAIRE

1 CONTACT INFORMATION

EMPLOYER

NAME OF EMPLOYER

CONTACT/ADMINISTRATOR PERSON'S NAME (First, Last)

ADDRESS

CITY,

STATE

ZIP

DAYTIME PHONE NUMBER

CONTACT PERSON'S EMAIL

NAME OF PLAN

EMPLOYER TAX ID

NUMBER OF EMPLOYEES

FORMER CONTACT

IF APPLICABLE.

FORMER RECORD KEEPER'S NAME

FORMER RECORD KEEPER'S PHONE NUMBER

FORMER TRUSTEE'S NAME

FORMER TRUSTEE'S PHONE NUMBER

FINANCIAL REPRESENTATIVE

IF APPLICABLE.

REPRESENTATIVE'S NAME

REPRESENTATIVE'S PHONE NUMBER

BROKER/DEALER NAME

REPRESENTATIVE'S EMAIL

2 GENERAL QUESTIONS

ORGANIZATIONAL STRUCTURE:

- ◯ **501(c)3 church**
- ◯ **ministry/non-profit** , or
- ◯ **other:** ______________________
- ◯ Request a tax exempt letter from the IRS

STATUS OF PLAN:

- ◯ **new plan**
- ◯ **restatement**
    - ◯ Request required prior plan documents (including any amendments) for review
- ◯ **start date:** _______/_______/_______
- ◯ **calendar**, or
- ◯ **fiscal year**
- ◯ **ERISA**
- ◯ **Non-ERISA**

TYPE OF PLAN:

- ◯ **church plan**
- ◯ **church-controlled organization** (ie: school or daycare)
- ◯ **non-church controlled ministry**

HOUSING ALLOWANCE:

- ◯ **no**
- ◯ **yes**

COMPENSATION:

- ◯ **W2**
- ◯ **bonuses**
- ◯ **other:** ______________________

3 ADOPTION AGREEMENT INFORMATION

ELIGIBILITY:

◯ **immediate**, or ◯ **other**:____

MINIMUM AGE LIMIT:

◯ ________ (default is 21)

EXCLUDED EMPLOYEES:

◯ **non-resident aliens** ◯ **other**:____

TYPES OF CONTRIBUTIONS ALLOWED IN THE PLAN:

◯ **employee deferrals** ◯ **employer match** ◯ **employer contributions**

AMOUNT OF CONTRIBUTIONS ALLOWED IN THE PLAN:

◯ __________**%** ◯ **discretionary $**____________________

VESTING SCHEDULE:

◯ **immediate vesting**

◯ **cliff** (elaborate:____)

◯ **graded** (elaborate:____)

INVESTING OPTIONS:

◯ **pre-tax traditional** ◯ **roth** ◯ **pre-tax and roth**

HIGHLY COMPENSATED EMPLOYEES?

◯ **no** ◯ **yes**

QNEC MONEY?

◯ **no** ◯ **yes**

WILL PLAN ACCEPT PLAN ROLLOVERS?

◯ **no** ◯ **yes**

WILL PLAN ACCEPT TRANSFERS?

◯ **no** ◯ **yes**

4 PLAN PROVISIONS - WITHDRAWALS

WHAT TYPE OF WITHDRAWALS WILL PLAN SPONSOR OFFER:

◯ **59 ½ in-service withdrawals**

◯ **Hardship withdrawals**

LOANS ARE NOT OFFERED AT THIS TIME.

THE MASTER'S PLAN

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