Stonewood Commons
101 Bradford Rd., Suite 200
Wexford, PA 15090

# PLAN TAKEOVER CHECKLIST

## COMPANY INFORMATION

| | |
|---|---|
| Company Name: | |
| Plan Name: | |
| Address: | |
| | |
| Phone: | |
| Fax: | |
| Email: | |

## REQUESTED ITEMS

| | |
|---|---|
| | **Plan Document** |
| ☐ | PPA Adoption Agreement (prototype) or Plan and Trust (volume submitter, individually designed) |
| ☐ | Amendments |
| ☐ | Summary Plan Description |
| ☐ | IRS Determination Letter (if applicable) |
| | **Annual Valuation Reports (prior 3 plan years - open audit window)** |
| ☐ | Compliance Testing Reports (410(b), 401(a)(4), 415, 402(g), ADP/ACP) |
| ☐ | Top-Heavy Testing Results |
| ☐ | Asset Reconciliation (ties to Form 5500) |
| ☐ | Participant Account Balance Detail / Statements |
| ☐ | **Participant Loan Paperwork** (includes Promissory Note, Irrevocable Pledge, amortization schedule) |
| ☐ | **Form 8955-SSA** (all available filings) |
| ☐ | **Form 5500** with all Schedules (if current filing not available on DOL - i.e. amended filings, Form 5500-EZ) |
| ☐ | **Fidelity Bond Coverage** (details name of insured, period covered, and amount) |

*If your current TPA provides you with electronic documents through a secure portal, please contact us as we would be happy to assist with gathering the applicable items noted above using your login credentials.