



COMPLIANCE INFORMATION REQUEST

1. **Does the employer currently sponsor or has the employer ever sponsored any other qualified plans?**
 No Yes If yes, list any plans maintained by the employer that are not administered by IAI:

2. Does any owner, partner or stockholder or the spouse of an owner, partner or shareholder of the employer have ownership in any other business not covered by this plan?
 No Yes If yes, please explain: _____

3. Is the plan sponsor part of a controlled group of corporations or an affiliated service group?
 No Yes Don't Know

4. **Were any amendments to this plan adopted within this plan year that were not prepared by IAI?**
 No Yes If yes, please provide a copy of the signed amendment if you have not already done so.

For 401(k) Plans: If you provided Safe Harbor Notices to participants for the 2011 and/or 2012 plan year(s), please provide our office with a copy of the notice(s) and any related documentation if you have not already done so. If you have any questions about Safe Harbor provisions, please give us a call.

5. **Have there been any changes in the appointment of trustee, accountant, or investment manager during the current plan year?**
 No Yes If yes, please explain: _____

6. **Is the plan covered by a Fidelity Bond? (The Pension Benefit Guaranty Corporation (PBGC) is not a bonding company.)**
 No Yes *(Please fill in information requested below.)*

If yes, name of bonding company: _____

Amount of bond: _____

Was any loss incurred during the plan year? No Yes, amount of loss: \$: _____

Please include a copy of the bond or policy.

If any of the above questions have been answered "yes," we may need additional information in order to complete the 5500 series forms. We will request additional information as needed.

7. **Owner/Officer Information**

Please list all individuals who are officers, owners, partners or stockholders. Also list any of their family members who are employees. *Please attach additional pages if necessary.*

Name	Officer	Owner/Partner/Stockholder	% of Ownership / Relationship

8. **For Profit Sharing Plans: If your plan has a discretionary profit sharing feature, please select one of the following:**

- There will be no Discretionary Profit Sharing Contribution for this plan year.
 We have already determined the contribution amount and the Annual Administrative Report should reflect a contribution of \$ _____.
 We want IAI to determine the maximum allowable contribution and advise us. Once we decide how much will be contributed, we will advise IAI and the Annual Administrative Report can be completed.

