

**WATERFORD ADVISORS** LLC  
*Relationships Beyond Investing*



# Existing Retirement Plan Questionnaire

## **Existing Retirement Plan Questionnaire**

***There are key pieces of information needed when providing pricing and recommendations for a retirement plan. Please complete this form as accurately and completely as possible and return to us so that we can provide personalized recommendations for your company.***

***CONFIDENTIAL: Your information will be kept confidential and will never be provided to anyone without your consent.***

### **Company Information:**

Company Name: \_\_\_\_\_

Business Structure: \_\_\_\_\_

*Ex.: C-corp, S-corp, P-ship, LLC, LLP, Sole Proprietor*

Company Address: \_\_\_\_\_  
\_\_\_\_\_

Company Phone: \_\_\_\_\_

Company Fax: \_\_\_\_\_

Company EIN: \_\_\_\_\_

Company Fiscal Year End: \_\_\_\_\_

Primary Contact Name: \_\_\_\_\_

Contact Phone: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Current Payroll Provider: \_\_\_\_\_

Do you employ 1099 workers: Yes or No? \_\_\_\_\_

Do you employ union workers: Yes or No? \_\_\_\_\_

Is the company a Non-Profit Org: Yes or No? \_\_\_\_\_

If yes, please describe: 501 (c)(3) or other? \_\_\_\_\_  
\_\_\_\_\_

Is the company an employee leasing organization, personnel agency,  
or employment staffing company? Yes or No? \_\_\_\_\_

Do you have ownership in any other businesses: Yes or No? \_\_\_\_\_

If yes, please describe: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### **Plan Information:**

What is the existing plan type  401(K)  SIMPLE IRA  SEP

DB Pension  Money Purchase  Other

Existing Plan Assets (Net of Loans): \_\_\_\_\_

Existing Outstanding Participant Loans: \_\_\_\_\_

Institution Where Assets Are Invested: \_\_\_\_\_

Number of Eligible Employees: \_\_\_\_\_

Number of Participating Employees: \_\_\_\_\_

Annual Plan Contributions (EE & ER): \_\_\_\_\_

Plan Year End: \_\_\_\_\_

### **Plan Goals / Objectives:**

What is your primary objective in offering a retirement plan? (check all that apply):  Attract and retain employees  Help employees save for retirement  Take advantage of pre-tax deferrals  Take advantage of tax deductions for my business  Satisfying a state retirement plan mandate

How important is employee participation in the retirement plan to you? (check one):  Very Important  Important  Neutral  Not Important

What level of funds as the employer are you willing and able to contribute towards the company retirement plan for your employees on an annual basis? \_\_\_\_\_  
\_\_\_\_\_

**Confidential Ownership Census:** add additional pages as necessary

First Name, Last Name	Title / Family Member Relationship	% Ownership	Date of Birth	Date of Hire	Annual Comp (please indicate from) W-2, K-1, Schedule C, etc.
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

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**Confidential Employee Census:** add additional pages as necessary

First Name, Last Name	Annual Hours of service	Date of Birth	Date of Hire	Date of Termination	Annual Comp (please indicate from) W-2, 1099
1.					
2.					
3.					
4.					
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25.					

**Thank you for taking the time to complete this important document.**

Please return to Waterford Advisors by mail, fax (716) 580-3913, or email: [cmm@waterfordadv.com](mailto:cmm@waterfordadv.com).  
If you have any questions, feel free to contact us at (716) 580-3906.



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