## Takeover Documents Checklist

### Plan Documents:
- Plan and Trust document
- All amendments to Plan and Trust document
- IRS determination letter(s)
- Resolution adopting the Plan
- Summary Plan Description (and any Summary Material Modifications, which are amendments to the Summary Plan Description)

### Government Forms:
- Form 5500 Series, including all schedules and attachments, for the past Plan Year
- Trust Tax Identification Number
- Any additional forms filed for the most recent year, such as Form 990, Form 5330, etc.
- Defined Benefit Plans: Form PBGC-1 for the last Plan Year

### Reports and Statements:
- Current census
- Defined Contribution Plans: Valuation/ allocation reports for the last Plan Year
- Defined Benefit Plans: Actuarial valuation reports for the last 3 Plan Years
- Most current Trust financial report (balance sheet and income statement)
- Benefit or account balance statements distributed to participants
- Results of top-heavy test for most recent Plan Year
- 401(k) Plans: Results of ADP/ ACP test for most recent Plan Year

### Benefit Certifications and Payments:
- Record of participant terminations for past 5 Plan Years
- Enrollment and beneficiary designation forms
- Administrative forms used with payment of benefits
- Administrative forms used with participant loans (including amortization schedules, promissory notes, and any other loan documents)
- Minimum Required Distribution Election Forms

### Other Information:
- Copy of fiduciary bond
- If insurance in plan: policies, illustrations, premium and dividend schedules, PS-58 calculations, information for Schedule A of Form 5500
- Retirement plan design questionnaire

---

**Please send all documents to:**

![Preferred Pension Planning](image)

991 Route 22 West  
Bridgewater, New Jersey 08807-2956  
Tel: (908) 575-7575  Fax: (908) 575-8889