



**Pension Advisors, Inc.**  
WE KNOW PENSION PLANS

## 401k Plan Feasibility Study Request and Confidential Employee Information

### Advisor Information

Name(s): Designation:

Agent #:

Name(s): Designation:

Agent #:

Name(s): Designation:

Agent #:

Name(s): Designation:

Agent #:

Company:

Name on Proposal:

Work:

Ext.

Fax:

Mobile:

Email

Best Time to Contact: AM PM Proposal Date:

### Client Information (continued on page 2)

Owner/Primary Contact:

Company:

Address:

City:

State:

Zip:

Telephone:

Fax:

Mobile:

Email:

After completing this form, please click the "Submit" button at the end of the document to send it via an open Internet connection, or fax it to (918) 338-2242, or email it to [info@penplans.com](mailto:info@penplans.com).



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### Client Information (continued from page 1)

**\*Type of Entity:**

Sole Proprietor

Partnership

LLC

Taxed As: Partnership Corporation Sole Proprietor

S-Corporation

C-Corporation

Professional Corporation

Date Incorporated:

Other:

Tax Year Ending:

Total Annual Desired Contribution for Plan:

Target Amount for Owner(s):

Maximum Contribution:

Desired Retirement Age for Plan Design:

Investment Options & Requests:

Fixed Life Insurance (up to 49% of annual contribution)

Variable Annuity Fixed Annuity Mutual Funds Other

Owners Risk Level

Aggressive Moderate Conservative

Will investment management services of SFG be utilized\*? Yes No

**\*Does the company currently have an existing qualified retirement plan? Yes No**

Explain:

**\*Do the owner(s)/stockholders(s) have any ownership interest in other businesses? Yes No**

Explain:

\*Investment advisory services offered through Sutterfield Financial Group, Inc., an SEC registered investment Advisor

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### Plan Goals (choose as many goals as desired)

#### **For the Employees:**

- Allow employee 401(k) contributions (on a before-tax basis).
- Provide a competitive benefit in the marketplace.
- Encourage and reward employee retention and longevity (e.g. use of a vesting schedule).
- Focus benefits on Owners.
- Contributions to Owners should reach the maximum limits each year. (e.g. \$44,000 per year)
- Focus benefits on higher-paid, key employees.
- Create an incentive for greater Company profits (or profits by division or profit center).

#### **For the Employer:**

- Maximize income tax deductions.
- Employer contributions should be allocated as a percentage of pay.
- Employer contributions should be made as a match, based on employee contributions.
- Employer contributions should be discretionary and flexible each year in total.
- A portion of the Employer contributions may be a fixed commitment each year;
  - e.g.       % of total payroll
- Annual Employer contributions might range from \$                   to \$                   ,  
or from       % to       % of total employee payroll.

#### **True or False:**

- |   |   |   |
|---|---|---|
| T | F | It is acceptable for the Employer to be required to contribute 3% of payroll per year.                                    |
| T | F | We want to be able to make discretionary Employer contributions greater than 3% of pay.                                   |
| T | F | It is acceptable for Employer contributions to be immediately 100% vested.  |
| T | F | It is acceptable for Employer contributions to be limited to \$10,000 per year.   |
| T | F | It is acceptable for total Employer and Employee contributions to be limited to \$20,000 per year (rather than \$44,000). |

### Other Information or Special Requests:

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### Employee Census Information

(Please contact our office at (918) 338-2255 if there are more than 20 employees.)

Name	*Sex	*Date of Birth	*Date of Hire	*W-2	Annual Hours	*% of Ownership	Family Member	Key Emp

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