



Pension Advisors, Inc.
WE KNOW PENSION PLANS

Wealth Max 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:

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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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WE KNOW PENSION PLANS

Wealth Max Analysis Request Information

Client Information

Name(s):

Address:

Mailing:

City:

State:

Zip:

Name:

Sex:

D/O/B:

Home Phone:

Work Phone:

Email:

Spouse:

Sex:

D/O/B:

Work Phone:

Email:

Investment Information

Plan Objectives:

Death Benefit (Estate Planning)

Cash Flow (Retirement)

Target Retirement Age:

Year to Start Distribution:

(For best results, the minimum distribution year should be 10 years or greater)

Current Balance of All Qualified Plans: \$

Type of Qualified Account(s):

IRA

KEOGH

403b

457

SEP

Annuity

Simple IRA

Bonds

401k

Stock

Defined Benefit

Mutual Funds

Other:

Total Amount to Fund Insurance:

Max

\$

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Wealth Max Analysis Request Information

Spouse Investment Information

Plan Objectives:

Death Benefit (Estate Planning)

Cash Flow (Retirement)

Target Retirement Age:

Year to Start Distribution:

(For best results, the minimum distribution year should be 10 years or greater)

Current Balance of All Qualified Plans: \$

Type of Qualified Account(s):

IRA

KEOGH

403b

457

SEP

Annuity

Simple IRA

Bonds

401k

Stock

Defined Benefit

Mutual Funds

Other:

Total Amount to Fund Insurance:

Max

\$

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