

TAKEOVER CHECKLIST  
401(k) Plans

Plan Name: \_\_\_\_\_

- \_\_\_\_\_ Adoption Agreement
- \_\_\_\_\_ Plan & Trust Document
- \_\_\_\_\_ Summary Plan Description
- \_\_\_\_\_ Safe Harbor Notices, if applicable
- \_\_\_\_\_ All Amendments
- \_\_\_\_\_ IRS Opinion or Determination Letter
- \_\_\_\_\_ Past 3 years' 5500-EZs. Other 5500s will be retrieved from EFAST
- \_\_\_\_\_ Last year's administration report including:
  - 1) Valuation with participant balances per source & vesting
  - 2) Compliance test (ADP/ACP, top heavy, minimum coverage)
- \_\_\_\_\_ Loan amortization schedules and promissory notes
- \_\_\_\_\_ Terminated participant 1099 performed by which administrator
- \_\_\_\_\_ \_\_\_\_\_
- \_\_\_\_\_ \_\_\_\_\_
- \_\_\_\_\_ \_\_\_\_\_
- \_\_\_\_\_ \_\_\_\_\_