TRANSFER PLAN CHECKLIST

Required Information Needed for the Onboarding on your Retirement Plan

Please provide all requested information and documents within the next 30 days. If we do not receive the requested information, we will be unable to continue with the installation of your plan.

☐ Most recent Adoption Agreement and additional plan documents/amendments from your previous service provider

☐ Signed Letter to Prior Administrator

- Notification letter and professional courtesy to your prior provider.

☐ Copy of most recent Annual Plan Valuation

- Should include several pages detailing Participant data and account balances.
- May also be called "Participant Valuation Summary" by providers.

☐ Copy of most recent plan compliance testing (including Top Heavy)

- Should be several pages of testing data and numbers.
- Often included with the Annual Plan Valuation (see above).

☐ Copy of current ERISA Fidelity Bond coverage

- Required amount of at least 10% of the value of plan assets.
- May be included with your Business insurance, or a separate policy.
- For more information on ERISA Bonds, please visit www.compass-cg.com/resources/

☐ Loan Information & amortization schedules (if applicable)

- Details 401(k) plan Loans your Participants are currently repaying.
- Loans are a contract and must be carried over to the new Platform.

☐ Executed signature pages from your new Compass Plan Documents

- We have attached the unsigned pages for easy reference. Please sign, date and return.