



Plan Setup Form

PREPARE FOR A SMOOTH ONBOARDING PROCESS

To help establish a 401(k) plan that meets your specific needs, use this form to gather the required information.

1: ACCOUNT INFO

Legal company name			
Contact name & phone			
Company address			
Changes to provisions Eligibility, contributions, etc.			
Number of employees: All W2 employees, even part-time		Number of participants: If transfer plan	

2: COMPANY INFO

Company EIN		Name of trustee Business owner	
NAICS Lookup at naics.com		Trustee phone	
Entity type LLC, S-Corp, C-Corp, etc.		Trustee email	
If LLC, how taxed		State	
Payroll provider		Fiscal year end	
Payroll frequency		Company ownership: Is there a control group? <input type="checkbox"/> Yes <input type="checkbox"/> No	
First payroll date After plan start date			



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3: PLAN DESIGN

Auto-enrollment default percentage: _____

Waive eligibility requirements for current employees? ☐

Plan name The official name of the plan	
Plan start date The official start date of the plan	
Service requirements Determine when employees are eligible to participate in the plan, i.e. immediate to 1 year and 1000 hours of service, etc.	
Age requirements Determine the age required to participate in the plan, i.e., at least 18-21 years of age	
Entry date schedule Determine a schedule for newly eligible employees to enter the plan, i.e., monthly, quarterly, or semiannually	
Employer contributions The amount, if any, of employer matching contributions to the employee's 401k account	
Vesting schedule The period of time an employee must work at the company before gaining access to employer match contributions. For Safe Harbor plans, vesting is typically immediate.	
Profit-sharing vesting schedule The period of time an employee must work at the company before gaining access to profit-sharing contributions	
Employee welcome date notice The date to send a welcome notice to eligible employees as the plan starts. This may also include their enrollment notice. (The initial welcome date notice must be sent to participants 30 days before plan start or as soon as administratively possible.)	

Plan type: ☐ SH Basic ☐ SH Enhanced ☐ SH QACA ☐ SH Non-elective ☐ Traditional

Upload employee census:
(Census template provided)

☐ Uploaded

☐ N/A