



YEAR END DATA COLLECTION

At the end of the plan year the employer must prepare a census report. This information is used to determine eligibility, calculate and allocate contributions, perform compliance testing, update participant vesting and to prepare Form 5500 for filing with the Employee Benefits Security Administration (EBSA). Accurate census information is critical to performing these administrative functions. Please fill in the information below. When completed, please forward a signed copy of this form and a completed census spreadsheet previously provided to: hills@hillspallc.com

Name of Company:

EIN:

Census Contact Person:

Email:

Phone No:

Type of Entity:

Corporation
Partnership

Professional Corp
Sole Proprietorship

LLC Corp
Non-profit

Subchapter S Corp
Political subdivision

The form of business you operate determines when you must file company tax forms and make your employer deposit. All deductible contributions must be filed by time you file your company's tax return. Please indicate form of business and if the company will be filing for extension. **PARTNERSHIPS MUST PROVIDE COPY OF SCHEDULE C OR K1 INCOME.**

1. Is the Company on Extension? Yes No
2. Are you requesting HPA to calculate and employer contribution? Yes No

If yes, please specify source and formula (i.e. Profit Sharing 5%, Profit Sharing \$25,000, Match 100% of deferrals up to 6% compensation)

3. Has the Sponsoring Employer or any of the owners, bought sold or merged with any other company within the last year. Yes No

Verify you have the company ownership information correct on census, including other businesses and trusts they may own. Provide all family relationships between owners and employees. If ownership has changed or if a new business has been acquired please provide us information.

***Ownership must total to 100%**

CENSUS

4. Have you attached a completed census in excel and verified all information is correct (Census spreadsheet specifications and frequently asked questions)? Yes No



5. Do you have W2 Employees? Yes No # of W2's _____

*Attach copy of W3, W2 totals page or Totals Page from your year end Payroll Report. Verify you have payroll informaton for the entire year for every employee that received W2 compensation, regardless of current employment status or plan eligibility.

6. Were all contributions for the plan year invested by Year End? Yes No

If no, please provide the type of contribution, amount and date deposited. (You may attach the investment company confirmation)

Source: _____ Source: _____ Source: _____
Amount: _____ Amount: _____ Amount: _____
Date: _____ Date: _____ Date: _____

7. Have you ATTACHED a copy of the Plan's Fidelity Bond? Yes No

RESPONSE AND SIGNATURE

During the Plan year, did the employer fail to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102?

Yes No Amount:

The Department of Labor ("DOL") issued final regulations on January 20, 2010 on the timing of participant contributions (401k deferrals/loan repayments). The safe harbor rule is helpful to employers sponsoring a small pension or welfare benefit plans it provides that the employee contributions are deemed to be timely if the amounts are deposited with the plan no later than the 7th business day following the date the contributions are received by the employer, or the date the amounts would otherwise have been paid to the employee as compensation.

Failure to transmit participant contributions in the above time frame is considered a prohibited transaction for which the Plan must submit a Form 5330, pay a 15% excise penalty and restore lost earnings to participants. The Form 5500 requires the response to this question and must be answered. Your answer to this question will be placed on the Form 5500.

Signature: _____

*All data on this Form must be received in order for HPA to work on the Plan allocations, compliance testing and Form 5500. If data is not received in good order it will be returned and not worked on until all information is collected.