



Solo 401(k) ***New Plan Setup***

# General Information

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## *Financial Advisor*

Name	_____
Firm Name	_____
Broker Dealer	_____
Address	_____
Phone	_____ Cell _____
Email	_____ Rep# _____

## *Company*

Company Name	_____
Address	_____
Phone	_____
Fax	_____
HR Contact	_____
HR Email	_____

## *Current Plan*

Total Plan Assets	_____
TPA	_____
Plan Tax ID	_____ IRS Plan# _____
Plan Name	_____ Plan Year _____

Notes \_\_\_\_\_

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\_\_\_\_\_

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# Company Information

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## *Company Owners, Partners, Spouses*

Name _____ <input type="checkbox"/> Owner <input type="checkbox"/> Partner <input type="checkbox"/> Spouse
Name _____ <input type="checkbox"/> Owner <input type="checkbox"/> Partner <input type="checkbox"/> Spouse
Name _____ <input type="checkbox"/> Owner <input type="checkbox"/> Partner <input type="checkbox"/> Spouse
Name _____ <input type="checkbox"/> Owner <input type="checkbox"/> Partner <input type="checkbox"/> Spouse

## *Company Details*

Type of Business (C, S, Partnership, LLC, etc.) _____
Company Tax ID _____
IRS 6 Digit Activity Code _____
Company Fiscal Year _____
Date Business Commenced _____
State of Incorporation _____
Other businesses owned by owners or spouses of owners _____
_____

Notes \_\_\_\_\_

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# New Plan Options

## *Loan, Withdrawal, and Rollover Options*

Loans:  Yes  No

Minimum Loan Amount: \_\_\_\_\_

Hardship Withdrawals:  Yes  No

In-Service distributions after 59.5:  Yes  No

Rollovers from other Plans:  Yes  No

Rollovers from other Plans Prior to Eligibility:  Yes  No

## *Eligibility Options*

Service Requirements:

Months of Service: \_\_\_\_\_

Hourly Requirement:

1000 Hours of Service (Maximum Allowed)  Other \_\_\_\_\_

Age:

21 (Maximum Allowed)  Other \_\_\_\_\_

Entry Dates:

Immediate  Monthly  Quarterly  Semi-Annual  Other \_\_\_\_\_

## *Employee Contribution Options*

Roth Contribution:

Yes  No

Plan Design Notes: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\*ProTPA's information packet assumes that trustees of Solo 401(k) plans are interested in maximizing their contributions. As such the draft of the document will be based on such an assumption. The plan document produced by ProTPA is approved by the trustee and as such the trustee is responsible for its contents. If you are interested in custom plan design – please ask, we will happily provide a custom plan document.