



## Comprehensive Retirement Plan Review Information Request List

- Signed (current) Plan Document (GUST compliant)
- Determination Letter (if custom)
- Signed Adoption Agreement and Proto-type Document (if proto)
- All signed plan Amendments, including EGTRRA
- Summary Plan Description (GUST compliant)
  
- Current plan provider Service Agreement outlining all billable expenses and asset charges
- Most recent Asset statement by Fund (including the balance in the forfeiture account)
- List of all Investment Options including investment Share Class
  
- Signed Form 5500 for the past two years
- ADP/ACP testing for the past two years
- Top-Heavy testing for the past two years
- Actuarial report for the past three years (if you have a Defined Benefit Plan)
  
- Investment Policy Statement
- Number of Eligible employees, Number of Participating employees
  
- Participant enrollment kit/Education materials**
- A list of locations including city, state, zip code and number of employees**

**Required Information**  
**Optional Information**

**Mail this information to:**  
**Oswald Financial, Inc.**  
**1360 East 9<sup>th</sup> Street, Suite 610**  
**Cleveland OH 44114**  
**800.466.0468**

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