Instructions for 401(k) Compliance Check Questionnaire

General Instructions

The 401(k) Compliance Check Questionnaire consists of multiple sections. Some of the sections will be completed only if your plan has a specific feature; therefore, some sections may not apply to your plan. The Questionnaire was designed so that questions which do not apply to your plan will not appear as you complete the Questionnaire.

Answer the questions for the specific plan referenced in the cover letter, not including controlled group or affiliated service group members. Unless otherwise indicated, provide responses as of the end of this Plan's 2008 plan year. Provide the most complete and accurate answers possible. Be sure to limit your responses to the information requested and **do not** send books or records. When completing questions which ask for dollar amounts or percentages, round the amounts to the nearest dollar or percentage unless otherwise instructed.

In several questions we ask for comments on issues that are important to Employee Plans. One purpose of this Questionnaire is to identify areas in which the IRS can provide additional education, make improvements to our programs and to help ensure future compliance.

How to Complete the Questionnaire

This compliance check Questionnaire is being conducted via the internet.

Accessing the Questionnaire and Related Information

1. Go to **www.irs.gov/ep**

2. Click on the "**401(k) Compliance Check Questionnaire**" Information on the project and a link to complete the questionnaire..

3. Next, click on the link, "**Complete The Questionnaire"** in the **If You Receive a Letter** section of this Webpage. The IRS has contracted with Cvent to provide a secure website for conducting this Questionnaire. Cvent will not have access to your information.

4. To begin the Questionnaire, enter the security information listed below. This information is unique to your plan and prevents unauthorized access to your Questionnaire.

    PIN:
    Password:
    Source ID:

Instructions for 401(k) Compliance Check Questionnaire

Entering your Responses

Once the information above has been input on the log-in screen, and you have entered the "**Text Verification**", additional instructions will be provided. When entering your responses:

- By clicking on "**Save and Continue**", your responses for that page will be saved.
- **If multiple individuals are providing input on the plan's response, you may prefer to compile responses on the Guide to Completion of the 401(k) Compliance Check Questionnaire, Form 14146, before entering the answers online**. Form 14146 can be printed from our website, however, this form should not be returned to the IRS.
- When returning to the Questionnaire to continue responding, you will need to navigate to the page where you left off by clicking "**Save and Continue**".
- In some cases, a particular response to a question will cause follow-up questions to appear. These follow-up questions must also be answered before proceeding to the next page.
- If it is necessary to return to an earlier question to change an answer, click the "**Previous**" button to return to earlier pages.
- Never use the Back or Forward buttons in your Internet browser as it may cause problems.
- After responding to the last question and clicking "**Finish**" your responses will be submitted. If you inadvertently submit responses prematurely, contact the person whose name appears in the heading of the letter to regain access.
- Any (*) in the Questionnaire indicates that question is required. You cannot move to the next screen if one of the marked fields is not completed
- For persons with a disability who require an alternative method, please contact the person listed on the letter and accommodations will be made.

New or Discontinued Plans

Unless otherwise indicated, provide responses for the Plan's 2008 plan year. If your plan was new in 2007 or 2008, please complete the Questionnaire using zeroes (0) for periods prior to the inception of the plan. If you believe that your plan was not in existence in 2008, please contact the person whose name appears in the heading of the letter.

Questions

If you have any questions concerning the Questionnaire, please contact the person listed in the letter or send an e-mail to *epcu@irs.gov.