

Request for Information

Plan Name:

EIN:

Plan Year Ended:

Plan Number:

Information reported on your Form 5500, Schedule H or Schedule I, shows an end of year employer securities amount.

1. Does your plan hold investments in Employer Securities?

Yes No - Explain:

2. Does item 1(d)(1) on Schedule H (Form 5500) **or** item 3d on Schedule I (Form 5500) for the plan year ended _____ reflect the correct end of year dollar value of the plan's investments in Employer Securities?

Yes No

If not, indicate the correct end of year dollar value of the plan's investments in Employer Securities \$ _____

3. Indicate the date in which the Employer Securities referenced in question 2 were acquired. For each plan year in which Employer Securities were acquired, indicate the dollar value of the Employer Securities, the cumulative value of all of the Employer Securities as of the end of the year, and the dollar value of the trust assets as of the end of the year:

Acquired Date (Month & Year)	Value of Employer Securities Acquired	Total End of Year Employer Securities	End of Year Net Assets

4. Were Employer Securities acquired each time at Fair Market Value?

Yes – Briefly describe the steps taken to determine Fair Market Value _____

No—Describe the valuation method(s) used to acquire Employer Securities _____

5. Were any commissions paid to acquire Employer Securities?

Yes No

If yes, enter the amount: \$_____

6. If your plan is a profit-sharing plan or 401(k) plan (or a money purchase plan in existence on September 2, 1974), does your plan document provide for the acquisition and holding of Employer Securities in excess of 10% of the Plan Assets?

No Yes Type: Profit Sharing 401(k) Money Purchase

Effective Date: _____

If your answer is yes, indicate the section(s) of your plan document referring to Employer Securities: _____ . Provide a summary of the plan provisions:

7. Other Comments: _____

Name

Title

Email address

Telephone