

## Request for Information

**Employer Identification Number (EIN):**

**Plan Name:**

**Plan Number:**

**Plan Period Ending:**

Our records show that the plan identified above received a Favorable Determination Letter and a Form 5500 series return may be required. Plans subject to the Employee Retirement Income Security Act (ERISA) are required to file an annual Form 5500 series return. Non-ERISA plans covering 100% business owners or one or more partners, and their spouses are required to file a Form 5500-EZ if their year end assets are greater than \$250,000. For additional information regarding this compliance check, you can visit our website:

[http://www.irs.gov/Retirement-Plans/Employee-Plans-Compliance-Unit-\(EPCU\)](http://www.irs.gov/Retirement-Plans/Employee-Plans-Compliance-Unit-(EPCU))

### Section I - Plans subject to ERISA:

1.  A Form 5500/5500-SF return was filed for the plan listed above for the plan year(s):

\_\_\_\_\_

2. The Employer Identification Number used for Form 5500/5500SF Filing (if different than the number shown above):

\_\_\_\_\_

3. Date(s) Filed: \_\_\_\_\_

4.  Though required, a Form 5500/5500-SF was not filed for this plan.

Please see information about the Delinquent Filer Voluntary Compliance Program (DFVC Program) at:

[http://www.dol.gov/ebsa/faqs/faq\\_dfvc.html](http://www.dol.gov/ebsa/faqs/faq_dfvc.html)

5. We have since filed our returns on: \_\_\_\_\_

6. Did you file using the DFVC Program?  Yes  No

### Section II - Non-ERISA Plans covering only a 100% business owner or one or more partners, and their spouses:

1.  A Form 5500-EZ return was filed for the plan listed above for the plan year(s): \_\_\_\_\_

2. The Employer Identification Number Used for Form 5500-EZ Filing:

\_\_\_\_\_

3. Date(s) Filed: \_\_\_\_\_

4.  Though required, a Form 5500-EZ was not filed for this plan. Please see information about the Penalty Relief Program for Form 5500-EZ Late Filers at:

<http://www.irs.gov/Retirement-Plans/Penalty-Relief-Program-for-Form-5500-EZ-Late-Filers>

5. We have since filed our annual report(s) on: \_\_\_\_\_

6. Did you file using the Penalty Relief Program?  Yes  No

7.  A Form 5500-EZ return is not required - assets in the plan have not exceeded \$250,000.

Please provide the name and contact information of someone knowledgeable of the plan's form and operations who is authorized to speak with us regarding this matter:

Name/ Telephone number \_\_\_\_\_/\_\_\_\_\_

Title /Best time to call \_\_\_\_\_/\_\_\_\_\_