

## Telephone Checklist

1. Verify name, address, and telephone number of employer.
2. Verify contact person (Form 2848 for representative).
3. Type of business entity. Related employers (controlled or affiliated service group)?
4. Verify name of plan, type of plan, and plan number.
5. Other plans?
6. Prior or pending audits or other issues with IRS or DOL (determination letter; EPCRS; closing agreement; audit, etc)?
7. Type of employee census and payroll records. Electronic data?
8. Third-party administrator? Responsibility for applicable testing?

9. Institutional trustee or custodian? If no, types of assets and accounting records?
  
10. Any Form 5330 excise tax return for year under audit?
  
11. Advance copies of plan and trust documents, Form 5500 return and schedules, etc., for year under audit (if agent desires)?
  
12. Other notes: