

RKG Takeover Items

Please forward these items to stacie@retirementkg.com, if you have questions please feel free to contact Stacie.

Needed	Item	Description
	Plan Document (aka Adoption Agreement)	This is the legal document that governs how your plan operates such as eligibility, entry dates, when participants can change their deferral, if your plan allows loans, etc.
	Amendment(s) (if applicable)	If you have made any changes to your plan document, you will have an amendment. Please be sure to forward any amendment(s) so RKG can include these modifications when restating your plan document.
	Summary Plan Description (SPD) and Summary Material Modification (SMM)	This is a written narrative of your key plan provisions and is provided to your participants when they become eligible and periodically thereafter. The SMM is a similar narrative for any plan amendments made to the original plan document.
	Current Year's Safe Harbor Notice (if applicable)	If your plan has a safe harbor feature, your prior TPA or Investment Platform should have prepared this Notice to disburse to all eligible employees and terminated participants with account balances for the Plan Year.
	Prior Year Compliance Report	This report summarizes your nondiscrimination testing results and may identify highly compensated employees and provide other census data. This report comes from your prior TPA or Investment Platform if your plan does not use a TPA.
	Prior Year Census File (if applicable)	We will request a copy of your prior year census file only if it is not provided in your Compliance Report.
	Plan Asset Statement from <u>January 1st through date of transfer</u> , by participant and source (if applicable)	This report should be requested from your prior recordkeeper/investment platform only if changing recordkeepers . It should show each participant's plan activity and account balance by source. RKG will use this information to perform testing and prepare your plan's 5500.
	Participant List with Years of Service or Vesting (if applicable)	For RKG to properly track vesting, please provide a spreadsheet listing your current employees and any terminated participants with account balances vesting percentages or years of service. If this information was in your above Compliance Report, you may disregard this item.
	Loan Amortization schedules (if applicable)	Amortization schedules for outstanding loans and repayments to date, only if RKG will be keeping track of your loans.