

Acct. No: \_\_\_\_\_ Date: \_\_\_\_\_  
Account Class Code: 04- TRUST  
Financial Advisor No: \_\_\_\_\_ BR No: \_\_\_\_\_  
Destination: FIELD SUPERVISION  
Area No: \_\_\_\_\_ Region Code: \_\_\_\_\_

### PLAN INFORMATION FORM

Scan to SENDDOC,PLANINFO

Check one:  Initial Form  Update

**ALL ITEMS MUST BE COMPLETED. Failure to complete all items may result in delayed crediting of revenue to the FA.**

**For instructions and an explanation of the questions on this form, see JonesLink: WEB093619**

#### PLAN INFORMATION

- A. This form is being completed for: (Please see **WEB093619** for an explanation of the following options)  
 New Start-Up Plan  Broker of Record Change  Take-Over Plan  Change of Vendor or Platform  Existing Plan Changes
- B. Type of plan:  401(k)  Owner-only 401(k)  ERISA 403(b)  Defined Benefit  Profit Sharing  Other \_\_\_\_\_
- C. Who is the product partner or vendor? JH or AF (See WEB138071  
What is the name of the product/platform? \_\_\_\_\_ for information  
Who is the TPA and/or Recordkeeper? MGA Consultants Inc. on vendor availability)

#### PLAN DEMOGRAPHICS

- D. Approximately, how many employees participate in this plan (if start-up plan, expect to participate during 1<sup>st</sup> year)? \_\_\_\_\_
- E. What is the approximate average age of all plan participants? \_\_\_\_\_
- F. What is the market value of all plan assets (if start-up plan, expected contributions during 1<sup>st</sup> year)? \$ \_\_\_\_\_

#### PLAN DESIGN

- G. Does the plan allow participants to direct their own investments from the investment options listed in Section M?  Yes  No
- H. You are required to discuss ERISA 404(c) compliance with the Plan Sponsor. For 404(c) information, see JonesLink: WEB046288  
Does the Plan Sponsor intend for this plan to comply with 404(c)?  Yes  No
- I. You are required to discuss Qualified Default Investment Alternative (QDIA) options with the Plan Sponsor.  
1. Has the Plan Sponsor designated a QDIA option?  Yes  No  
2. If yes, enter Fund Name (or Fund Series if designating a target date/life cycle fund): \_\_\_\_\_  
(Note: A Money Market Fund does not qualify as a long-term QDIA. For more information see JonesLink: WEB 115415)
- J. Does the plan offer custom asset allocation models as an investment option for participants (see WEB629726)?  Yes  No

#### EDUCATIONAL SERVICES

You are required to provide ongoing educational services to the plan sponsor and plan participants. The services you can provide under the requirements of ERISA are limited to educational. You **cannot** provide investment advice.

K. \_\_\_\_\_ (FA initials) I acknowledge that I have reviewed the Edward Jones Policy Regarding Retirement Accounts (WEB114491) and the Edward Jones Guidelines for Assisting Retirement Plan Clients (WEB114490) and I will be providing ongoing educational services to the plan sponsor and plan participants.

If you are not using Edward Jones pre-approved educational materials or seminars, attach the materials or an outline which has details concerning the topics that will be addressed in the educational materials and/or during the seminars. Forward copies of any sales materials, which have not been approved for use by Edward Jones, to the Field Supervision Retirement Plan Supervision Team. (These materials may not be used until you receive written approval from Compliance.)