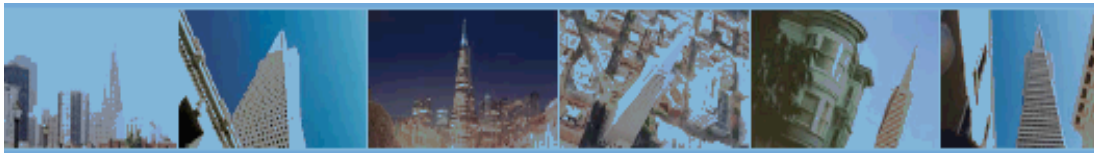


Adopting Employer 401(k) Survey



Survey completed by: _____ Title: _____ Date: _____
Company Name: _____
Primary 401(k) contact person: _____
Company Address: _____
Phone: _____ Fax: _____
E-mail: _____ Website: _____

Select Customer Type: New Customer Existing Customer Prospective Customer
Type of Corporation: C Corp. S Corp. Partner Sole Prop. LLC Non Profit
Date of Incorporation: _____ Fiscal year: _____ Calendar year: _____

If you have any questions, please contact Michael Greiner of Merrill Lynch at (352) 368-0642 or Michael.greiner@ml.com

Did your company have a 401(k) Plan during the prior year? Yes No Provider: _____
If yes, please attach copy of summary plan document (SPD), last 5500, and individualized contract.
If no, was a retirement savings plan offered? Yes No Type: _____

Questions for Worksite Company Owner or Operator:

1. Do any owners, spouses or minor children own any part of any other business with Employer? Yes No
2. Is this company a subsidiary of any other company? Yes No
3. Has the company ever sponsored a Qualified Retirement Plan?
If yes, what was the prior plan # (i.e. 001 002) _____ Yes No
4. Does the company currently sponsor a Qualified Retirement Plan? Yes No
5. Is the company part of a controlled group of companies? Yes No
6. Does the company have an old plan it wants to merge Yes No
7. Will the company consider making a matching and/or profit sharing contribution to the plan? Yes No
8. Have you been part of another professional employer organization's retirement plan? Yes No
9. Are there any assets and participants currently on this plan? Yes No
If yes, what are the estimated Assets: _____ What are the estimated # of participants: _____

Employee Information:

Number of Full-time Employees: _____ Gross Annual Payroll: _____
Number of Part-time Employees: _____

Does payroll include owners? Yes No Will they participate in Plan? Yes No

Main Reasons to Set Up A Plan:

Personal savings Reduce turnover Competitive requirement Help employees save for retirement

Identify Highly Compensated Employees:

(A) List all owners of the company with 5% or more ownership in the current and prior year:

Name: _____ Percent of Ownership: _____
Name: _____ Percent of Ownership: _____
Name: _____ Percent of Ownership: _____

(B) List all relatives of each owner who are on the company payroll:

Name of Relative: _____ Relationship: _____
Name of Relative: _____ Relationship: _____
Name of Relative: _____ Relationship: _____

(C) Number of employees of the company who earned, with the employer, in excess of \$100,000 in the prior year:

Name: _____ Name: _____ Name: _____ Name: _____ Name: _____

Mail Completed Forms To: Michael Greiner, Merrill Lynch Private Client Group - 301 SE 17th Street Ocala, Florida 34471
Email Completed Forms To: Michael.greiner@ml.com
Fax Completed Forms To: (352) 368-0651