

401K AUDIT PREPARATION CHECKLIST

Here's a list of things you'll need after you've hired a third party and are preparing for your audit:



- List of the auditor's requirements
- IRS Form 5500
- Certification letter from the plan custodian or trustee
- Cash and investments documents for your plan
- Cash and Investment statements certified by your custodian or trustee
- Plan compliance testing results and any other compliance documents
- Contribution, rollover, and forfeiture information
- Benefits paid or payable and expenses
- Activity that took place after the end of the plan year
- Written 401(k) plan documents and internal controls
- Written and signed plan documents and adoption agreements

CONTACT US

If you need help with your business's 401(k) audit or just have a question, we'd be happy to talk about your options!

Rapid City • 605.348.1930
Gillette • 307.682.4795

CASEYPETERSON.COM