



SOLD PLANS CHECKLIST

MUTUAL OF OMAHA RETIREMENT SERVICES

LOCATED IN THE PROPOSALS:

- Fiduciary Acceptance Package “FAP”**
 - Complete Information Sheet,
 - Complete and sign Application and Fiduciary Agreement,
 - Sign the SEC Rule 180 Information and Certification,
 - Sign and initial the Commission/Service Fee Acknowledgement (if applicable),
 - Sign and initial the TPA Fee Acknowledgement (on TPA serviced plans only, if applicable)
- Producer Commission Illustration**
 - The broker needs to fully complete this form to get paid – no plan sponsor signature is required
- TPA Info (on TPA serviced plans only)**
 - The TPA must complete the first page and sign the W-9 (to receive the TPA subsidy) – the W-9 only needs to be completed once

ADDITIONAL PAPERWORK:

- Mesirow Paperwork**
 - Mesirow 3(21): Plan Sponsor must sign and complete pages 12, 13, and sign at the bottom of the fund lineup they will utilize (Basic, Standard, Advanced, Master Elite and Select)
 - Mesirow 3(38): Plan Sponsor must sign and complete pages 10, 13, and sign at the bottom of the fund lineup they will utilize (Basic, Standard, Advanced and Select Guidelines)
- Stadion Paperwork**
 - Plan Sponsor must sign and complete the first page
- Plan Establishment Kit (PEK)**

These can be pre-filled if we receive a current copy of the Plan Document.

 - 1) Full Service PEK: Plan Sponsor must sign pages 18 and 29
 - 2) Full Service Small PEK: Plan Sponsor must sign pages 17 and 28
 - 3) TPA PEK: Trustee must sign pages 13, 24 and page 12 of the MG Trust Agreement (under the Trustee and Customer Section)

ADDITIONAL ITEMS NEEDED DURING INSTALLATION:

- Census**
 - The New Business Consultant can provide Excel format
- Termination Letter & Blackout Notice**
 - Often advance of 30 or more days required by the prior carrier. The New Business Consultant would like a copy or can help with providing a sample letter. Samples are available.
 - The New Business Consultant and Installation Coordinator will assist with determining blackout dates once the liquidation date is determined. If already delivered/provided, the New Business Consultant would like a copy. Samples are available.
- QDIA Notice**
 - If plan is utilizing Stadion, Vanguard or GlidePath as the QDIA, a notice must be provided to employees 30 days in advance of money transferring into the plan. The New Business Consultant can provide the notice.
- Enrollment**
 - After meetings, forms can be e-mailed or faxed to Installation Coordinator. An enrollment booklet request form is located in the PEK.
- Transfer Benefit**
 - There is an additional form required (transfer benefit letter) if we are reimbursing a market value adjustment, signed by the trustee. The New Business Consultant will provide if needed.
- ACH form for contributions**
 - Once plan setup is near complete, a Payroll Coordinator will contact the employer’s payroll person to work on contribution processing. He/she can provide ACH form, or the Installation Coordinator can provide form to be completed by trustee.
- Rollovers into Mutual of Omaha plan**
 - Instructions and forms are located in the enrollment booklet