<u>Procedural Requirements Checklist</u>

<u>**********Form 5307 **********</u>

Use this list to assure that your submitted package is complete. Failure to supply the appropriate information may result in a delay in the processing of the application.

☐ 1. Is Form 8717, User Fee for Employee Plan Determination Letter Request, attached to your submission?

☐ 2. Is the appropriate user fee for your submission attached to Form 8717?

☐ 3. If appropriate, is Form 2848, Power of Attorney and Declaration of Representative, or a privately designated authorization attached? (For more information, see the **Disclosure Request by Taxpayer** in the instructions.)

☐ 4. Is a copy of your plan's latest determination letter, if any, attached?

☐ 5. Is the Employer Identification Number (EIN) of the **plan sponsor** (NOT the trust's EIN) entered on line 1b?

☐ 6. Does line 4d list the year in which the plan originally became effective?

☐ 7. Is page one of the application signed <u>and</u> dated?

☐ 8. Have interested parties been given the required notification of this application? (See instructions)

☐ 9. If your plan is a Prototype, have you included a copy of the adoption agreement and approval letter?

☐ 10. If your plan is a Volume Submitter, have you included:

- A copy of the plan document;
- The current Advisory Letter;
- A list of modifications from the approved plan;
- A copy of the trust instrument; and
- A copy of the plan amendments?

(See **What To File** in the instructions.)

(rev. 2/7/2000)

- [ ] 11. If you answered “Yes” to line(s) 6a and/or 6b, have you included the information requested in the instructions?

- [ ] 12. If you answered “Yes” to line 9a, have you included the information requested?

- [ ] 13. Is Schedule Q, (Form 5300) Nondiscrimination Requirements, attached?

- [ ] 14. Are all appropriate demonstrations attached to the Schedule Q? (See Instructions for Schedule Q)

- [ ] 15. Have you included a copy of the plan, trust, and all amendments since your last determination letter?