



401k Account Application

www.SunwestTrust.com 3240-D Juan Tabo NE Albuquerque, NM 87111 (505) 237-2225 1-800-642-7167

CLIENT INFORMATION: Name _____

Home Address _____ City _____ State _____ Zip _____

Phone: Home_(____) _____ Work_(____) _____ Social Security Number _____

EMPLOYER INFORMATION: Name of Company adopting the plan _____

Type of business: Sole Proprietorship Partnership LLC C Corporation S Corporation Other

Federal Tax Identification Number _____ Fiscal Year End _____ Business Phone_(____) _____

Business Address _____ City _____ State _____ Zip _____

THE PLAN TRUSTEE(S): Trustee Name _____

Address _____ City _____ State _____ Zip _____

Signature of the Trustee _____ Title _____

PLAN LOANS:

- NO.** Your plan is designed to help you save for retirement and does not allow you to take a loan from your account under the Plan. If "No" is selected, the remainder of this section will not apply to the Plan.
- YES.** Although the Plan is designed primarily to help you save for retirement, you may take a loan from the Plan if the loan is used for:
- any purpose to purchase your principal residence to pay for funeral expenses
 - to pay for post-secondary tuition for you or your immediate family
 - to pay medical expenses for you or your immediate family
 - to pay rent or mortgage payments to prevent eviction or foreclosure from your principal residence
 - to pay uninsured damage to your principal residence other

You will be permitted to have only _____ loan(s) outstanding at a time.

The maximum loan amount available to you will be: \$50,000 or one-half of the vested balance in the Plan, whichever is less. (maximum allowed) other

No loans will be issued for less than \$_____. A portion of your Plan balance will be pledged as security for your loan.

This Plan contains Roth Deferrals, but does not allow you to take loans from Roth Deferrals and earnings.

The interest for your loan will be computed using the: prime rate (as specified by the Wall Street Journal) prime rate (as specified by the Wall Street Journal) plus _____%. other _____.

When did the Plan become effective? New Plan – the effective date of the Plan is _____, _____. Amendment and Restatement of Prior Plan – Original Plan date _____ Amended Plan date _____

SIGNATURE of account holder _____

Signed this _____ day of _____, _____

PLAN NO. _____

(For Official Use)