



401k Account Application

www.SunwestTrust.com 10600 Menaul Blvd NE Albuquerque, NM 87112 (505) 237-2225 1-800-642-7167

CLIENT INFORMATION: Name _____ Social Security No. _____
Home Address _____ City _____ State _____ Zip _____
Phone: Home_(____) _____ Work_(____) _____ Email Address _____

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 _____
(Must be physical address not P.O. Box)

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

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 _____

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 _____%.

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 _____

FEE DISCLOSURE: One-time Set-Up Fee - **\$500** Annual Fee - **\$200** (Includes all Amendments issued by IRS/DOL)
An Additional \$225 annual fee if you choose Sunwest Trust to be Trustee **All fees are non-refundable**

SIGNATURE of account holder _____

Signed this _____ day of _____, _____

PLAN NO. _____

(For Official Use)

Revised 12/16/14