Plans with 100 or more participants with an account balance are required to undergo an Independent Qualified Public Accountant (IQPA) audit. Based on our data, your plan meets or may be close to meeting this threshold. If applicable, please take the following actions to ensure timely completion of your Form 5500 filing:

**1. Engage an Auditor**

If you have not already done so, you must engage an IQPA to conduct your plan's financial audit. Your auditor will need access to plan financial information and documentation to complete their review.

**2. Complete the Audit Questionnaire**

Please complete the Audit Questionnaire available in the **Client Portal**. This questionnaire provides us with critical information about your audit that will help ensure the process runs smoothly and efficiently.

**3. Submit Audited Financials - Important Deadline**

The audit must be completed **before the Form 5500 can be filed**. In order for our team to have adequate time to incorporate the audit results into your filing, we must receive a copy at least 5 business days prior to your Form 5500 filing date.

Questions?

If you have questions about the audit process, or need clarification on filing deadlines, please contact your Retirement Plan Specialist. We are here to support you throughout this process.