



# 67th Annual Survey Questionnaire Worksheet

Below is a list of numerical questions from the upcoming 67th Annual Survey that you may want to look up ahead of time. A year-end statement from you plan provider and/or the Form 5500 data is a good source for most of this information. The annual survey will open for participation online in early April.

1. Estimate the total number of active U.S. employees in your company as of December 31, 2023 (exclude separated, retired and other non-active employees).

\_\_\_\_\_

2. How many employees were eligible to participate in this plan as of December 31, 2023? Response should be equal to or less than your answer to question 1.

\_\_\_\_\_

3. How many employed participants had an account balance as of December 31, 2023? Response should be equal to or less than your answer to question 2.

\_\_\_\_\_

4. How many non-employed participants (i.e., terminated vested employees, etc.) had an account balance as of December 31, 2023?

\_\_\_\_\_

5. What percentage of participants age 50 and older made catch-up contributions in 2023?

\_\_\_\_\_ %

6. What was the total market value of plan assets as of December 31, 2023 (including any outstanding plan loans)?

\$ \_\_\_\_\_

7. What was the total (gross) annual payroll of the eligibles reported in question 2, before any employee salary deferrals for 2023?

\$ \_\_\_\_\_

8. Estimate the average number of years of plan participation for those who retired during 2023.

\_\_\_\_\_ years

9. What was the total company contribution to the plan for 2023 for matching and/or non-matching contributions (if you make both, please break it out by type of contribution, if available).

Matching contribution: \_\_\_\_\_  Not applicable

Non-matching contribution: \_\_\_\_\_  Not applicable

Total contribution: \_\_\_\_\_  Not applicable

10. Estimate your company contribution as a percentage of total net profit (after-tax), if applicable.

\_\_\_\_\_ %  Not applicable

11. Please list the total number of participants from question 3 (exclude terminated vested employees) that contributed to the plan in 2023 and the total dollar amount contributed. The total number contributed should not exceed the number with a balance listed in question 3. Then list the number of participants and amount contributed by contribution type (Note: the sum of pre-tax and after-tax does not necessarily equal the total).

	Number of Participants	Gross 2023 Contribution
Total contributions:	_____	_____
Pre-tax contributions:	_____	_____
After-tax — Roth 401(k):	_____	_____
After-tax — Traditional (non-Roth):	_____	_____

12. For non-safe harbor plans, please share your ADP and ACP test results for 2023.

	ADP	ACP
By the highly compensated:	_____ %	_____ %
By the non-highly compensated:	_____ %	_____ %

13. How many investment funds are available to participants for each type of contribution?

Company contributions \_\_\_\_\_ (# funds)

Participant contributions \_\_\_\_\_ (# funds)

Note: Target-date and target-risk families should be counted as a single fund.

14. Estimate the percentage of participants that used investment advice in 2023.

\_\_\_\_\_ %

15. What percentage of total plan assets were invested in company stock as of December 31, 2023?

\_\_\_\_\_ %

16. Approximately how many participants had loans outstanding as of December 31, 2023?

\_\_\_\_\_

17. What was the total dollar amount of outstanding plan loans as of December 31, 2023?

\$ \_\_\_\_\_

18. How many participants took a hardship withdrawal in 2023? \_\_\_\_\_

(Continued on next page)

**19. Please indicate the 2023 year-end fund balance for each type of investment options offered in your plan and the number of each type offered. Alternatively, you may submit a list of your funds and the year-end fund balances for each.**

Fund Type	Year-end Fund Balance	# of Funds
a. Alternative asset class	\$ _____	_____
b. Balanced fund/asset allocation	\$ _____	_____
c. Bond-actively managed, domestic	\$ _____	_____
d. Bond-indexed, domestic	\$ _____	_____
e. Bond, international	\$ _____	_____
f. TIPS	\$ _____	_____
g. Cash equivalents (CD/money market)	\$ _____	_____
h. Company stock	\$ _____	_____
i. Emerging markets	\$ _____	_____
j. Equity-actively managed, domestic	\$ _____	_____
k. Equity-actively managed, international/global	\$ _____	_____
l. Equity-indexed, domestic	\$ _____	_____
m. Equity-indexed, international/global	\$ _____	_____
n. ESG funds (socially responsible)	\$ _____	_____
o. Real estate fund (including REITs)	\$ _____	_____
p. Sector funds/commodities (Other than real estate)	\$ _____	_____
q. Self-directed brokerage/mutual fund window	\$ _____	_____
r. Stable value	\$ _____	_____
s. Target date investment	\$ _____	_____
t. Target-risk	\$ _____	_____
u. Participant loans	\$ _____	_____
v. Other (describe): _____	\$ _____	_____

I will submit my year-end investment report instead.