



# 66th Annual Survey Questionnaire Worksheet

Below is a list of numerical questions from the upcoming 66th 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 mid-March.

1. Estimate the total number of active U.S. employees in your company as of December 31, 2022 (exclude separated, retired and other non-active employees).

\_\_\_\_\_

2. How many employees were eligible to participate in this plan as of December 31, 2022? 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, 2022? 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, 2022?

\_\_\_\_\_

5. What percentage of participants age 50 and older made catch-up contributions in 2022?

\_\_\_\_\_ %

6. What was the total market value of plan assets as of December 31, 2022 (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 2022?

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

8. Estimate the average number of years of plan participation for those who retired during 2022.

\_\_\_\_\_ years

9. What was the total company contribution to the plan for 2022 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 2022 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 2022 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 2022.

	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 2022.

\_\_\_\_\_ %

15. What percentage of total plan assets were invested in company stock as of December 31, 2022?

\_\_\_\_\_ %

16. Approximately how many participants had loans outstanding as of December 31, 2022?

\_\_\_\_\_

17. What was the total dollar amount of outstanding plan loans as of December 31, 2022?

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

18. How many participants took a hardship withdrawal in 2022? \_\_\_\_\_

(Continued on next page)

**19. Please indicate the 2022 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.