

# ERISA BOND COMPLIANCE REQUEST (ALABAMA)

IF YOUR FIRM HAS A 401(K) OR OTHER QUALIFIED EMPLOYEE BENEFIT PLAN AND HANDLES EMPLOYEE FUNDS IN ANY MANNER—THEN:

IF YOUR PLAN ALREADY HAS AN ERISA BOND, KEEP THIS FORM WITH YOUR ERISA BOND FILE SO THAT WHEN YOU RECEIVE THE RENEWAL BILL YOU WILL BE READY TO:

**Reduce your ERISA bond renewal premium by up to 67%  
Receive our bond, file it, then FORGET IT FOR THREE YEARS!**

IF YOUR PLAN DOES NOT HAVE AN ERISA BOND, RETURN THIS FORM TODAY! The Employee Retirement Income Security Act of 1974 mandates that your plan carry a Fiduciary Bond.

Bond Amount	Total 3 Year Cost with Inflation Guard*
\$ 10,000	\$ 110.00
\$ 15,000	\$ 110.00
\$ 20,000	\$ 116.00
\$ 25,000	\$ 129.00
\$ 30,000	\$ 139.00
\$ 50,000	\$ 178.00
\$ 75,000	\$ 221.00
\$ 100,000	\$ 248.00
\$ 150,000	\$ 275.00
\$ 200,000	\$ 299.00
\$ 250,000	\$ 323.00
\$ 300,000	\$ 348.00
\$ 350,000	\$ 372.00
\$ 400,000	\$ 396.00
\$ 450,000	\$ 420.00
\$ 500,000	\$ 444.00

Call for a quote if over \$500,000 and/or more than 5 trustees.

Information to be shown on your bond:

Plan Name: \_\_\_\_\_  
*As filed with the Federal Government*

Amount of Bond: \$ \_\_\_\_\_  
This amount should be at least 10% of the current plan assets. Call us if you require a bond limit of more than \$500,000.

Bond Effective Date (Next billing due date, if currently bonded): \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Number of Trustees: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Total Value of Plan Assets: \$ \_\_\_\_\_

Total Value of "Non-Qualifying" Assets: \$ \_\_\_\_\_  
(If more than 5% of total assets are "non-qualifying", Inflation Guard is not offered. Submit to Company with Form 5500, Schedule D)

Are regular outside audits conducted on the plan? \_\_\_\_\_

Plan Administrator: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_

Signed: \_\_\_\_\_ Title: \_\_\_\_\_

\*Inflation Guard automatically adjusts the bond limit to keep it in compliance with ERISA requirements. All costs shown are as of 06/01/2010, and are based on 5 or fewer trustees. Prices are subject to change without notice.

## Who Must Be Bonded?

Every Fiduciary (trustee or administrator) who manages employee Pension, Profit Sharing, 401K, SEP, ESOP or similar benefit plans.

## Why is a Bond Required?

It protects investors and their interest in the plan's assets from breach of fiduciary duty. And, *It's The Law* - Employee Retirement Income Security Act of 1974.

## Who is Bonded?

ERISA requires that all Fiduciaries be bonded. Our form bonds all Fiduciaries, except independent contractors, at all times in order to maintain compliance.

## The Bond Protects Whom?

The ERISA bond benefits only plan participants and their beneficiaries. Contact us for information on Fiduciary Liability Coverage.

COMPLETE THIS FORM AND RETURN IT WITH PAYMENT PER THE ABOVE TABLE TO:

**ATKINSON BROS. AGENCY  
PO BOX 271989  
HOUSTON, TX 77277-1989**

**WE ACCEPT ALL MAJOR CREDIT CARDS FOR EMAIL OR FAX ORDERS.**

**COMPLY WITH THE LAW AND SAVE TIME AND MONEY!**

**ATKINSON BROS AGENCY - EST 1936**

701 HAWTHORNE ST., HOUSTON, TX 77006

PHONE: (800)929-6093 FAX (800)929-6094

WWW.ERISABONDSTAT.COM

WWW.ATKINSONBROS.COM

BOND UNDERWRITTEN BY RLI INDEMNITY COMPANY (BEST RATED A+) - NOT AVAILABLE IN ALL STATES

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