



CHECKLIST: SELF-DIRECTED BROKERAGE ACCOUNT

STEP 1

Determine if the qualified plan has the SDBA option.

- Lookup the plan on Brightscope.com - this is a free service.
- Does the plan have a 2R feature?
 - Brightscope data is based on IRS 5500 filings, with a 12-month delay.

STEP 2

Contact the plan provider to ask the following questions:

- Is the SDBA feature available on this plan?
- Could you please confirm the custodian?
- Does the plan allow a third-party manager?
- Can the SDBA account be used to pay plan fees?
- Are there any rules or restrictions regarding how much needs to be in the core funds vs. the SDBA?
- Are you able to provide a brochure or guidance on how we establish the SDBA?
- Are you able to provide a brochure or guidance on how to move monies from the core plan to the SDBA?