



EMPLOYEE BENEFIT PLAN SERVICES

Employee Benefit Plans (EBP) carry unique regulatory requirements under ERISA and the Department of Labor (DOL). Whitley Penn's dedicated EBP audit practice focuses on helping plan sponsors meet these obligations with confidence. Our team audits more than 275 plans each year, including 401(k), 403(b), defined contribution, defined benefit, ESOP, and health & welfare plans, giving us deep insight into the challenges and compliance expectations that affect plan operations.

Our Range of Solutions



Compliance & Reporting:

- Preparation and filing of Form 5500, including all applicable schedules and attachments
- Preparation and filing of Form 5558 extensions
- Preparation and filing of Form 8955-SSA
- Preparation of summary annual reports
- Responding to any DOL or IRS correspondence that may arise
- Assisting with IRS or DOL examination
- Preparation and filing of Delinquent Filer Voluntary Compliance Program filings



Audit & Assurance:

- 401(k), 403(b), 401(a), and profit-sharing defined contribution plans
- Employee health and welfare plans
- ESOPs
- Defined benefit pension plans
- Public sector retirement plans
- Plans requiring a form 11-K filing with the SEC
- Plans held in a master trust
- Plan mergers, spin-offs, and terminations
- Due diligence guidance on employee benefit plans before and after mergers and acquisitions
- Assistance with preparation of financial statements
- Reporting compliance
- Identification and correction of plan issues

Your Future is Our Focus

Quality is at the core of our EBP practice. We undergo regular inspections by the American Institute of Certified Public Accountants (AICPA) and DOL and consistently receive strong results, reflecting our commitment to accuracy and compliance. As active members of the AICPA Employee Benefit Plan Audit Quality Center, we ensure our professionals stay current on emerging issues, regulatory trends, and best practices.

How We Deliver

Our approach focuses on early planning, proactive communication, and a clear, organized process, including:

- Specialized knowledge of ERISA, DOL requirements, and relevant audit standards
- Support compliance through thorough documentation and well-designed audit procedures
- To help ensure your Plan is prepared for regulatory review and oversight

Contact an Advisor Today:



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Learn more:

