



# ADVANCE NOTICE OF REPORTABLE EVENTS

PBGC Form 10-Advance  
Approved OMB #1212-0013  
Expires 03/31/2015

This form may be used by a contributing sponsor of a single-employer plan required to notify the Pension Benefit Guaranty Corporation in advance that a reportable event will occur.

## IDENTIFYING INFORMATION

Name of Plan

Name of contributing sponsor

Name / title of individual to contact

Street address of contributing sponsor

Street address of contact

City, State, Zip

City, State, Zip

EIN of contributing sponsor

Plan number

Telephone number of contact

Ext.

## REPORTABLE EVENTS

See instructions for descriptions of these events. Check all boxes that apply.

- Change in contributing sponsor or controlled group
- Liquidation
- Extraordinary dividend or stock redemption
- Transfer of benefit liabilities
- Application for minimum funding waiver
- Loan default
- Bankruptcy or similar settlement

## BRIEF DESCRIPTION

Briefly describe the pertinent facts relating to the event.

**ADDITIONAL INFORMATION TO BE FILED**

**Change in Contributing Sponsor or Controlled Group**

- Expected effective date of event
- Description of the plan's old and new controlled group structures, including the name of each controlled group member
- Name of each plan maintained by any member of the plan's old and new controlled groups, its contributing sponsor(s) and EIN/PN
- Most recent audited (or, if unavailable, unaudited) financial statements and interim financial statements of the plan's contributing sponsor (both old and new in the case of a change in the contributing sponsor) and any persons that will cease to be in the plan's controlled group

**Liquidation**

- Expected effective date of event
- Description of the plan's controlled group structure before and after the liquidation, including the name of each controlled group member
- Name of each plan maintained by any member of the plan's controlled group, its contributing sponsor(s) and EIN/PN
- Most recent actuarial valuation report for each plan in the controlled group

**Extraordinary Dividend or Stock Redemption**

- Name and EIN of person making the distribution
- Date and amount of cash distribution(s) during fiscal year
- Description, fair market value, and date or dates of any non-cash distributions
- Statement as to whether the recipient was a member of the plan's controlled group

**Transfer of Benefit Liabilities**

- Name, contributing sponsor and EIN/PN of transferor plan and transferee plan(s)
- Explanation of the actuarial assumptions used in determining the value of benefit liabilities (and, if appropriate, plan assets) transferred
- Estimate of the assets, liabilities, and number of participants whose benefits are transferred

Note: To the extent this information is filed with the IRS Form 5310A, PBGC will accept a copy of that filing.

**Application for Minimum Funding Waiver**

- Copy of the waiver application, with all attachments

**Loan Default**

- Copy of the relevant loan documents (e.g., promissory note, security agreement)
- Due date and amount of any missed payment
- Copy of any written notice of default from lender
- Copy of any written notice of acceleration from lender

**Bankruptcy or Similar Settlement**

- Copy of all papers filed in the relevant proceeding, including, but not limited to, petitions and supporting schedules
- Last date for filing claims, if known
- Name, address and phone number of any trustee, receiver or similar person
- Most recent actuarial valuation report for each plan in the controlled group
- Description of the plan's controlled group structure, including the name of each controlled group member
- Name of each plan maintained by any member of the plan's controlled group, its contributing sponsor(s) and EIN/PN