



## ABOUT US

Since 1926, Windes has been a trusted business partner to our clients, and we have earned our reputation as one of the most respected and socially responsible accounting firms in southern California. Our professionals deliver high-value accounting and consulting services and are committed to our clients and their organizations. The strength of our practice and comprehensive expertise, coupled with our global network, enables us to provide our clients with business solutions at fees that represent outstanding value. Windes covers a multitude of disciplines with more than 165 professionals within four southern California offices. Our firm serves over 2,800 businesses and more than 1,600 individuals. The Windes Nonprofit Group prepares and reviews more than 150 Forms 990, 990-T, 990-PF, and state tax-exempt forms, and performs audits for more than 100 nonprofit organizations, as well as ERISA audits for many of these organizations.



## STRENGTHS OF OUR ERISA AUDIT & ASSURANCE PRACTICE

Our involvement in auditing employee benefit plans under ERISA dates back to the initial audit requirements specified in the law. We follow all applicable rules and regulations established by the AICPA, PCAOB, SEC, and State Boards of Accountancy related to independence and professional integrity. We are currently the auditors of record for more than 100 plans.

The Windes ERISA Audit Group possesses distinctive plan audit expertise and experience in performing limited-scope and full-scope audits of employee benefit plans, and has extensive experience working with plan sponsors and their service providers.

Our ERISA practice includes limited-scope and full-scope audits of the following types of plans:

11-k Filing	Defined Benefit	Profit-Sharing
401(a)	Defined Contribution	STD (Short-Term Disability)
401(k)	ESOP	SUB (Supplemental Unemployment Benefit)
403(b)	Health and Welfare	VEBA (Voluntary Employees Beneficiary Association)
Form 5500 Filing	MEWA (Multiple Employer Welfare Arrangement)	

We have completed our eleventh peer review of our accounting and auditing practice and, in each case, have received an unqualified “clean” opinion. A copy of our most recent peer review can be provided upon request.

Additionally, while Windes has a third party administration (TPA) practice which provides additional knowledge and resources to our ERISA Audit Group, we maintain our independence and do not audit any ERISA plans that are administered by our TPA practice.

## FEES

Our audit fees are competitive and commensurate with the excellent quality of the services provided. Audit quality has been a top priority of the Department of Labor (DOL) for several years and, we strive to stay informed of the focus areas and the expectations of the DOL and the Internal Revenue Service.

## THE WINDES ERISA PRACTICE LEADERSHIP

Our team is focused on ERISA audits. We have dedicated partners and staff who focus their practice on Employee Benefit Plan Audits. Our team is experienced in working with the key contacts at the client and outside service providers to facilitate an efficient and value-added quality audit. Our team serves clients in the following industries: automotive, construction, energy, hospitality and leisure, manufacturing, medical practices, nonprofit, professional services, real estate, retail and consumer products, technology and telecom, transportation, trade and maritime, and wholesale distribution.



### MARILYN THOMPSON, CPA, MST

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- 36 years of experience
- Board Member, Western Pension & Benefit Council - Orange County
- Member, Pacific Coast Area TE/GE Council
- President, Tichenor Support Foundation



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## MEMBERS OF

- ◆ American Institute of Certified Public Accountants (AICPA)
- ◆ AICPA Employee Benefit Plan Audit Quality Center (EBPAQC)
- ◆ California Society of Certified Public Accountants (CalCPA)
- ◆ Center for Public Company Audit Firms of the AICPA
- ◆ Public Company Accounting Oversight Board (PCAOB) Registered
- ◆ The ESOP Association
- ◆ The National Center for Employee Ownership
- ◆ Western Pension & Benefits Council, Orange County

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