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File No. (48)

Subject: FINANCIAL INSTITUTION

Date

Case Name  
Address

By Investigator/Auditor

Approved By

EIN/PN

Status  
CLOSED

**I. Predication** (State the reason for the case opening and for conducting an investigation.)

**II. Background**

Type of Financial Institution: \_\_\_\_\_  
As of / / : No. of ERISA Client Plans: \_\_\_\_\_ Managed Assets: \_\_\_\_\_  
Period Covered by Investigation: / / to / /  
Other: \_\_\_\_\_

**III. Areas Examined**

\_\_\_ Scope of Fid. Respon.      \_\_\_ Pooled Investments      \_\_\_ Annuities  
\_\_\_ Proxy Voting              \_\_\_ Real Estate              \_\_\_ Fees/Commissions  
\_\_\_ Cash Management          \_\_\_ Insurance                \_\_\_ Rebates  
\_\_\_ Equity Investments        \_\_\_ Commercial Side        \_\_\_ Bonding  
\_\_\_ Fixed Income Investments    Transactions                \_\_\_ Rptg. & Disclosure  
Other: \_\_\_\_\_

**IV. Records Reviewed** (For each item checked, supporting documentation obtained during the investigation should be retained in the case file.)

**A. Financial Institution Records**

\_\_\_ ERISA Client List                      \_\_\_ Regulatory Filings  
\_\_\_ Organizational Chart                \_\_\_ Fee Schedules  
\_\_\_ Officers/ Directors List              \_\_\_ Financial  
\_\_\_ Internal Audits                        \_\_\_ Client Complaints/Litigation  
\_\_\_ Investment Performance              \_\_\_ Written Procedures & Guidelines  
\_\_\_ Marketing Materials                 \_\_\_ Approved Securities List  
\_\_\_ Trust/Inv. Committee Minutes        \_\_\_ Master Securities List  
\_\_\_ Asset Valuations                      \_\_\_ Investment Contracts

Other: \_\_\_\_\_

**B. Plan Records**

\_\_\_ Financial Institution Agreements      \_\_\_ Billing Invoices  
\_\_\_ Correspondence Files                \_\_\_ Participant Records  
\_\_\_ Financial                                \_\_\_ Plan/Trust Documents  
\_\_\_ Insurance                                \_\_\_ Asset Holdings  
\_\_\_ Transaction Ledgers                    \_\_\_ Investment Contracts  
                                                  \_\_\_ Confirmation Slips/Order Tickets

Other: \_\_\_\_\_

V. **Interviews Conducted** (Supporting documentation for each interview conducted should be retained in the case file.)

FI Officials                          Plan Sponsor                          Attorney  
 Plan Trustee                          Plan Administrator                  Accountant

Other: \_\_\_\_\_  
\_\_\_\_\_

VI. **Issues Identified and Resolution** (Provide a brief description of the issues identified and the facts showing that the allegations/issues were not violations. In cases where violations are found, cite the facts showing that VC was achieved, including monetary results, if any, or that other dispositive action was taken.)

VII. **Civil Penalties**

Assessed:	<input type="checkbox"/>	Yes	Amount	502 (1)	_____
				502 (i)	_____
	<input type="checkbox"/>	No	Why not	_____	