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File No. (53)

Subject: FINANCIAL INSTITUTION

Date

Case Name
Address

By Investigator/Auditor

EIN/PN

Approved By

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

- | | | |
|---|---|---|
| <input type="checkbox"/> Scope of Fid. Respon. | <input type="checkbox"/> Pooled Investments | <input type="checkbox"/> Annuities |
| <input type="checkbox"/> Proxy Voting | <input type="checkbox"/> Real Estate | <input type="checkbox"/> Fees/Commissions |
| <input type="checkbox"/> Cash Management | <input type="checkbox"/> Insurance | <input type="checkbox"/> Rebates |
| <input type="checkbox"/> Equity Investments | <input type="checkbox"/> Commercial Side | <input type="checkbox"/> Bonding |
| <input type="checkbox"/> Fixed Income Investments | <input type="checkbox"/> Transactions | <input type="checkbox"/> 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

- | | |
|---|--|
| <input type="checkbox"/> ERISA Client List | <input type="checkbox"/> Regulatory Filings |
| <input type="checkbox"/> Organizational Chart | <input type="checkbox"/> Fee Schedules |
| <input type="checkbox"/> Officers/Directors List | <input type="checkbox"/> Financial |
| <input type="checkbox"/> Internal Audits | <input type="checkbox"/> Client Complaints/Litigation |
| <input type="checkbox"/> Investment Performance | <input type="checkbox"/> Written Procedures & Guidelines |
| <input type="checkbox"/> Marketing Materials | <input type="checkbox"/> Approved Securities List |
| <input type="checkbox"/> Trust/Inv. Committee Minutes | <input type="checkbox"/> Master Securities List |
| <input type="checkbox"/> Asset Valuations | <input type="checkbox"/> Investment Contracts |
- Other: _____

B. Plan Records

- | | |
|---|---|
| <input type="checkbox"/> Financial Institution Agreements | <input type="checkbox"/> Billing Invoices |
| <input type="checkbox"/> Correspondence Files | <input type="checkbox"/> Participant Records |
| <input type="checkbox"/> Financial | <input type="checkbox"/> Plan/Trust Documents |
| <input type="checkbox"/> Insurance | <input type="checkbox"/> Asset Holdings |
| | <input type="checkbox"/> Investment Contracts |
- Other: _____

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

FI Officials
 Plan Trustee

Plan Sponsor
 Plan Administrator

Attorney
 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.)