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File No.

(53)

Subject: Case Name: Address: EIN/PN:	Date: By Investigator/Auditor: Approved By: Status
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I. Predication (State the reason for the case opening and for conducting an investigation.)

II. Background

Plan Sponsor: _____

Plan Type: _____

As of / / : Assets: _____ Participants: _____

Period Covered by Investigation: / / to / /

Other Plans Reviewed: _____

III. Areas Examined

- | | | |
|---------------------------------------------|-----------------------------------------------|------------------------------------------|
| <input type="checkbox"/> Bonding | <input type="checkbox"/> Other Loans | <input type="checkbox"/> Income/Earnings |
| <input type="checkbox"/> Rptg. & Disclosure | <input type="checkbox"/> ER Sec./Real Prop. | <input type="checkbox"/> Expenses |
| <input type="checkbox"/> Contributions | <input type="checkbox"/> Ptrships/Jt. Venture | <input type="checkbox"/> Valuations |
| <input type="checkbox"/> Stocks & Bonds | <input type="checkbox"/> Other Investments | <input type="checkbox"/> Cash |
| <input type="checkbox"/> Real Estate | <input type="checkbox"/> Receivables/Payables | <input type="checkbox"/> Insurance |
| <input type="checkbox"/> Mortgages | <input type="checkbox"/> Liabilities | <input type="checkbox"/> Benefits |

Other: _____

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

- | | | |
|-------------------------------------------------|------------------------------------------|----------------------------------------------------|
| <input type="checkbox"/> Trustee/Corp Minutes | <input type="checkbox"/> Forms 5500 | <input type="checkbox"/> Real Estate/Mortgage |
| <input type="checkbox"/> Correspondence Files | <input type="checkbox"/> Financial Stmts | <input type="checkbox"/> Appraisals/Valuations |
| <input type="checkbox"/> Service Prov Contracts | <input type="checkbox"/> Rcpts/Disbs | <input type="checkbox"/> Partnership/Joint Venture |
| <input type="checkbox"/> Insurance Contracts | <input type="checkbox"/> Bank/Inv Stmts | <input type="checkbox"/> Stock Records |
| <input type="checkbox"/> Plan/Trust Documents | <input type="checkbox"/> Loan Records | <input type="checkbox"/> Participant Records |
| <input type="checkbox"/> Bond | <input type="checkbox"/> Liability Ins. | <input type="checkbox"/> SPD/SAR |

Other: _____

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

Trustee(s) Plan Administrator Plan Accountant
 Corporate Personnel Plan Attorney
Other: _____

VI. Issues Identified & Resolution (provide a brief description of the issues identified and the facts showing that the allegations/issues were not violations.)

Start Text here