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File No.

(48)

<b>Subject:</b>  <b>Case Name:</b>  <b>Address:</b>          <b>EIN/PN:</b>	<b>Date:</b>  <hr/> <b>By Investigator/Auditor:</b>  <hr/> <b>Approved By:</b>  <hr/> <b>Status</b>
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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"/> RealEstate/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<br>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:

