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File No.

(48)

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

II. Background

Type of Service Provider: Health Pension Other
As of / / : No. of ERISA Covered Plans: Participants
Period Covered by Investigation: / / to / /
Services:
 Claims/Benefit Determination COBRA Administration
 Claim/Benefit Payments Benefit Consulting
 Prep/Maintenance Partic. Records Investment
 Prep/Maintenance Accounting Records Insurance
 Bonding Utilization Review
 Legal Actuarial
 Doc Prep: 5500 Plan SPD SAR
Other: _____

III. Areas Examined

Scope of Fid. Respon Contributions COBRA Administration
 Claim/Benefit Processing Commissions Investment
 Claim/Benefit Payments Ins.Arrngmnt. Actuarial Services
 Unnec'y/Duplicate Svcs. Fees Rebates
Other: _____

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

A. General Service Provider Records

Client List Marketing Materials Financial
 State License Receipt/Disbursement Rec Bank/Investment
 Org. Chart Fee Schedules/Compensation SP Contracts
Other: _____

B. Plan/Client Records

Administration Agreement Plan/Trust Doc Trustee/Corp. Minutes
 Billing/Invoices Form 5500 Financial statements
 Contributions/Premiums Benefits/Claims Bank/Invnt Statements
 Participant Records Correspondence Insurance Contracts
 Pended Claims Other Contracts Reports to Plans and/or Clients

Other:

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

Service Provider Plan Administrator Accountant
 Personnel Plan Sponsors Attorney
 Plan Trustee

Other:

VI. Issues Identified & 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: Yes Amount 502(1): _____
 No Why not 502(i): _____
