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File No. (53)

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 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 Invest.	<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"/> Stocks & Bonds	<input type="checkbox"/> Other Investments	<input type="checkbox"/> Cash
<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. & Discl.

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"/> Investments Contracts

Other: _____

B. Plan Records

- Financial Institution Agreements
- Correspondence Files
- Financial
- Insurance

- Billing Invoices
- Participant Records
- Plan/Trust Documents
- Asset Holdings
- Investment Contracts

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