



FIDUCIARY FILE CHECKLIST



CHECKLIST

The following checklist will help you to compile and keep your Fiduciary Audit File up-to-date and assist with periodic reviews of your plan.

INSTRUCTIONS:

- 1/ Identify** all of the documents below that are applicable to your plan by indicating a check mark next to that item.
- 2/ Include** these documents in your Fiduciary Audit File or other centralized file and record the last date that the document was updated on this checklist.
- 3/ Review** this checklist at least once a year to ensure that you have updated your file with the most current documents available.

+ DOCUMENTS

	DATE		DATE
PLAN DOCUMENTS (AND ANY AMENDMENTS)		SUMMARY PLAN DESCRIPTION ("SPD")	
ADOPTION AGREEMENT (IF PROTOTYPE PLAN)		SUMMARY ANNUAL REPORTS	
TRUST AGREEMENT (IF SEPARATE FROM PLAN DOCUMENT)		SUMMARY OF MATERIAL MODIFICATIONS	
BARGAINING AGREEMENTS		NOTICES TO INTERESTED PARTIES	
IRS DETERMINATION LETTER			

+ GOVERNMENT REPORTING

	DATE		DATE
INTERNAL REVENUE SERVICE FORM 5500		AUDITED FINANCIAL STATEMENTS	

+ SERVICE PROVIDER CONTRACTS

	DATE		DATE
INVESTMENT CONSULTING AGREEMENTS		PLAN ACTUARIAL/ADMINISTRATION AGREEMENTS	
PLAN RECORDKEEPING/ADMINISTRATION AGREEMENTS		CUSTODIAL AGREEMENTS	
SERVICE CONTRACTS			



BONDING AND FIDUCIARY LIABILITY INSURANCE

DATE	DATE
FIDELITY BOND	FIDUCIARY LIABILITY INSURANCE POLICY



PROCEDURES & MINUTES

DATE	DATE
FIDUCIARY COMMITTEE CHARTER	ADMINISTRATIVE COMMITTEE MEETING MINUTES
PLAN PROCEDURE MANUAL	EMPLOYEE/PARTICIPANT COMMUNICATIONS
INVESTMENT COMMITTEE OR OTHER MEETING MINUTES	INTERNAL MEMORANDA REGARDING PLAN ADMINISTRATION



SECTION 404(c)

DATE	DATE
SAMPLES OF REQUIRED 404(C) PARTICIPANT DISCLOSURES	PARTICIPANT COMMUNICATIONS REGARDING INVESTMENTS
DESCRIPTION OF INVESTMENT ALTERNATIVES, INCLUDING RISK/RETURN AND FEE/EXPENSE INFORMATION	



INVESTMENT POLICY

DATE
INVESTMENT POLICY STATEMENT



INVESTMENT MANAGEMENT

DATE	DATE
PROSPECTUSES AND OTHER INVESTMENT INFORMATION	INVESTMENT CONTRACTS (IF ANY)



MONITORING INVESTMENTS

DATE	DATE
PERFORMANCE REPORTS	COPIES OF INVESTMENT PRESENTATIONS
INVESTMENT EXPENSES	
DOCUMENTATION OF RATIONALE PERTAINING TO FUND CHANGES	DOCUMENTATION OF ANY "MAPPED" INVESTMENT CHANGES INCLUDING PROCEDURES AND NOTICES



MISCELLANEOUS

DATE	DATE
ALL PLAN-RELATED FORMS NOT PREVIOUSLY LISTED	NON-DISCRIMINATION TESTING RECORDS
INFORMATION ON PLAN OPERATION AND INVESTMENT	RECORDS USED TO DETERMINE ELIGIBILITY AND CONTRIBUTIONS (OR DIRECTIONS ON HOW TO ACCESS CURRENT AND HISTORIC EMPLOYEE RECORDS)



NOTES



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OF THE YEAR FINALISTS

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This information was developed as a general guide to educate plan sponsors. It is not intended as authoritative guidance or tax or legal advice. Each plan has unique requirements, and you should consult your attorney or tax advisor for guidance on your specific situation.

The Financial Times 401 Top Retirement Advisors is an independent listing produced annually by the Financial Times (September 2018). The FT 401 is based on data gathered from advisors, regulatory disclosures, and the FT's research. The listing reflects each advisor's status in six primary areas: DC plan assets under management, DC plan growth rate, specialization in DC plans, years of experience, advanced industry credentials, and compliance record. This honor is not indicative of this advisor's future performance. Neither the advisors nor their parent firms pay a fee to the Financial Times in exchange for inclusion in the FT 401.

The Top DC Advisor Firms is an independent listing produced annually (September 2017) by The National Association of Plan Advisors (NAPA). The NAPA Top DC Advisor Firms is a compilation of leading individual advisor firms, or teams, ranked by DC assets under advisement. This award does not evaluate the quality of services provided to clients and is not indicative of this advisor's future performance. Neither the advisors nor their parent firms pay a fee to NAPA in exchange for inclusion on this list.

The PLANSPONSOR Retirement Plan Adviser of the Year includes finalists across four categories: individual, small team, large team and mega team. Judges look for advisory practices that employ industry best practices across a number of areas, including the implementation of auto enrollment, auto escalation and re-enrollment, especially at higher levels than the industry norms. Advisers that are successful in the award program need to demonstrate a commitment to outcomes-based measurement and encourage plan sponsor clients to create plans not that are just in the best interest of the company but are in the best interest of participants. Nomination for this award does not evaluate the quality of services provided to clients and is not indicative of future performance. Neither the advisors nor their parent firms pay a fee to PLANSPONSOR in exchange for the Retirement Plan Adviser of the Year award.

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