FIDUCIARY AUDIT FILE CHECKLIST

The following items associated with your company retirement plan should be consolidated into a central location, reviewed annually, and updated when necessary.

FIDUCIARY RESPONSIBILITY DOCUMENTS

- [ ] Fiduciary Acknowledgement
- [ ] Letters Meeting Minutes
- [ ] Investment Committee Bylaws
- [ ] Investment Committee Conflict of Interest Policy

INVESTMENT SELECTION & MONITORING DOCUMENTS

- [ ] Investment Monitoring Reports
- [ ] Investment Policy Statement
- [ ] Investment Call to Action Documentation
- [ ] Investment Policy Review Checklist

SERVICE PROVIDER DUE DILIGENCE DOCUMENTS

- [ ] 408(b)2 Disclosures
- [ ] Provider Service Contracts
- [ ] Plan Expense Benchmark Reports
- [ ] Provider Initial Selection Checklists
- [ ] Provider Annual Review Checklists

PARTICIPANT COMMUNICATION DOCUMENTS

- [ ] Enrollment Kit
- [ ] ERISA Section 404(c) Notice
- [ ] Annual Participant Fee Notice
- [ ] Summary Annual Reports with confirmation of Annual Distribution
- [ ] Sample Participant Education Material

PLAN ADMINISTRATION DOCUMENTS

- [ ] Adoption Agreement
- [ ] Plan Document
- [ ] Summary Plan Description
- [ ] Summary of Material Modification
- [ ] 5500 Report
- [ ] Discrimination Testing
- [ ] Fidelity Bond Documentation
- [ ] Fiduciary Insurance Documentation

NOTES

73 Redding Rd. Georgetown, CT 06829

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