

Document checklist



The documents listed here can provide valuable insights into a plan's goals, needs and history. Having access to them makes it easier to understand how I can be most productive as the plan's Financial Professional.

Plan Document

Including Adoption Agreement (if a prototype plan)

Summary Plan Description**Trust Agreement**

If separate from Plan Document

ERISA Investment Management Agreement(s)

If plan has Discretionary Manager(s) under ERISA 3(38)

Investment Policy Statement

If not available, any other materials that outline how investments are selected and how service providers are managed

Minutes from last Investment Committee meeting**Most recent Form 5500****Most recent Fee Disclosure Statement 408(b)(2)****Current investment line-up**

Including share classes

Annual Plan valuation

Typically generated by recordkeeper or third-party administrator (TPA)

Education Policy Statement

Overview of how educational needs of plan participants will be addressed

Employee demographics

Key data, including number of employees, number of locations and age distribution (e.g., 18-35, 35-50, 50+)

Fee Policy Statement

For Financial Professional use with plan sponsors.

Any information, statements and opinions set forth herein are general in nature, are not directed to or based on the financial situation or needs of any particular investor, and does not constitute, and should not be construed as, investment advice, forecast of future events, a guarantee of future results, or a recommendation with respect to any particular security or investment strategy. Investors seeking financial advice regarding the appropriateness of investing in any securities or investment strategies should consult their financial professional.

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