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.

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